

DCH Site Review Interpretive Guidelines

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| A. CONSUMER INVOLVEMENT (Medicaid Managed Specialty Services and Supports Contract, Consumerism Practice Guideline Attachment P 6.8.2.3.) | | |
| A.1. Consumers and family members are involved in evaluating the quality and effectiveness of service. (Consumerism Practice Guideline V.A.6.) | | <p>The review team will look for evidence that:</p> <ul style="list-style-type: none"> • Consumers and family members are on CMHSP/PIHP boards and advisory councils • Stakeholders and the public attend meetings for comments and information. <p>This evidence may be found in the following areas: minutes, agendas, sign-in sheets, peer support specialists positions, mystery shopper programs, customer service information on assistance with input for the brochures and educational materials provided, consumer oriented job-descriptions, and consumer involvement in quality management reviews of the CMHSP programs and services.</p> |
| A.2. PIHP promotes the efforts and achievements of consumers through special recognition. (Consumerism Practice Guideline V.A.4.) | | <p>As evidence of compliance the PIHP can provide the review team with examples of awards and certificates that are given to consumers for their efforts and achievements. Additional evidence could demonstrate how consumer employees are compensated and promoted through out the system. The PIHP could also show events and examples from media coverage where the efforts and achievements of consumers were recognized.</p> |
| A.3. The PIHP gathers ideas and responses from consumers concerning their experiences with services through the use of customer satisfaction surveys and other related methods. | | <p>The PIHP could demonstrate compliance by showing relevant administrative policies and processes for collecting consumer service experiences. Examples could include customer satisfaction surveys, and mystery</p> |

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| (Consumerism Practice Guideline V.A.5.) | | <p>shopper efforts.</p> <p>Show efforts of opinion polls from consumers addressing programs and services. Show satisfaction surveys and how the results are disseminated. Look at evidence available of changes made as a result of consumer satisfaction surveys and opinions. Discussions with consumers, clinicians, and family members.</p> |
| <p>A.4. Consumers, former consumers, family members and advocates must be invited to participate in evaluating implementation of the guideline.</p> <p>(Consumerism Practice Guideline V.F.)</p> | <p>Attain broader input of ideas from those who have a stake in the system. Utilize consumer experiences and views for developing current policy and practices.</p> | <p>The PIHP could demonstrate compliance by showing:</p> <ul style="list-style-type: none"> • Minutes of meetings where advocates evaluated policies • How minutes are shared across boards and councils • How suggestions are addressed and implemented. • How consumer, family member and advocate input in new and ongoing policy and guidelines is solicited and utilized • Copies of letters sent to advocates inviting them to attend meetings addressing policies and guidelines • Evidence of consumer/advocate involvement in quality reviews of CMHSP/PIHP programs and services provided. |
| <p>B. SERVICES 1. GENERAL</p> <p>(Medicaid Managed Specialty Supports and Services Contract, Part II, Statement of Work, Section 2.0 Supports and Services)</p> | | |

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| <p>B.1.1. The entire service array for individuals with developmental disabilities, mental illness, or a substance abuse disorder, including (b)(3) services, are available to consumers who need them.</p> <p>Medicaid Managed Specialty Supports and Services Contract, “Statement of Work”</p> <p>AFP Sections 2.8, 2.10.5, 3.1, 3.5</p> | | <p>The site review team will examine:</p> <ol style="list-style-type: none"> 1. The PIHP’s activities to educate the general community regarding all of the following: <ol style="list-style-type: none"> a) Mental illness b) Serious emotional disturbance c) Developmental disabilities d) Mental Health 2. How the PIHP publicizes the array of available mental health services and service eligibility criteria to the community. 3. The PIHP’s establishment and use of waiting lists. 4. Prevention services directed to at-risk populations 5. Annual assessment of community needs 6. Residents of nursing homes with mental health needs are given the same opportunity for access to services as other individuals. 7. Out reach activities to vulnerable populations. 8. Prompt and easy access to services. 9. Access to services for inmates in jails with mental health needs. <p>The review team will look for supporting documentation as part of:</p> |

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| | | <ul style="list-style-type: none"> • Clinical record review • Administration interview/discussion • Consumer/guardian interviews • PIHP's description of enrolled programs and services (i.e., jail diversion program, prevention activities) <p><u>Prevention services:</u> AFP 2.8. Does the PIHP have evidence of activities for the following groups?</p> <ul style="list-style-type: none"> • Infant mental health • Children • Adolescents • Adult • Older adults/seniors • Women (pregnant, in shelters) • Homeless • Juvenile justice services • Substance abuse/use/disorders • Persons with dementia <p>Additional evidence that the PIHP has undertaken community education activities may be found in</p> <ul style="list-style-type: none"> • newsletters, newspaper articles, records of presentations to community organizations and |

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| | | <p>groups</p> <ul style="list-style-type: none"> • participation in health fairs or screenings or other community benefit activities • informational brochures for consumers and families • other publications (brochures, newspaper articles, Internet web pages, yellow pages, advertisements. <p>Is this information written in a basic reading level (i.e., 4th grade reading level), available in languages of people served, and available in alternative formats? Does the PIHP notify beneficiaries about how to access this information using the alternative formats?</p> |
| | | <p>Additional evidence of compliance may be demonstrated by providing information on:</p> <ul style="list-style-type: none"> • the numbers of individuals receiving mental health services in nursing homes. • the types and amount of services provided to individuals in nursing homes. <p><u>Waiting lists:</u></p> <p>The review team will review PIHP information and discuss with PIHP staff members whether the PIHP has:</p> <ul style="list-style-type: none"> • Waiting lists for services • Process for managing any waiting lists • Documentation which supports that waiting lists are reviewed periodically |

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| | | <ul style="list-style-type: none"> • Made referrals to alternative services when necessary to meet an individual's needs. • Taken actions to reduce/eliminate waiting lists (i.e., hiring additional staff, contracting out for additional services, reorganizing the organizations intake and service provision process) <p>A copy of the annual needs assessment completed by the PIHP can also provide evidence that the PIHP has sufficient resources and programs in place to meet community needs.</p> <p>Service penetration rates can also be examined for persons under 18 and for those over 65 to determine if penetration rates are equal to or greater than the representation of those groups in the service area population.</p> <p>If the PIHP's rates are extreme negative outliers compared to other PIHPs, do they have mechanisms in place to:</p> <ul style="list-style-type: none"> • identify possible reasons • develop and implement plans for improvement |
| B.1.2. Non-professionals are appropriately supervised. | | <p>The site review team will examine the PIHP to determine how staff are:</p> <ul style="list-style-type: none"> • Qualified • Trained (regularly scheduled to update and improve skills and competency) • Supervised |

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| | | <p>The site review team will also examine volunteer and student files.</p> <p>Supporting evidence may be found in:</p> <ul style="list-style-type: none"> • personnel or volunteer file (current certification, registration, or license if applicable). • Policies and procedures • Job descriptions • Training records (inclusive of a summary of the content and provision of training) • Performance appraisals • Contracts of contractual employees |
| B.2. PEER DELIVERED & OPERATED DROP IN CENTERS | | |
| <p>B.2.1. Staff and board of directors of the Drop In Center are each primary consumers.</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, 17.3.H.2.)</p> | <p>Gives consumers significant employment opportunities. Provides real life experience on how to work on boards and the parliamentary procedure and helps nurture self-reliance. Produces role models for other consumers and enhances self-esteem.</p> | <p>Sources of evidence of compliance could include:</p> <ul style="list-style-type: none"> • List of board members and their status as primary consumers • List of staff members and their consumer status • Does the drop-in contract demonstrate clear consumer leadership? • Do personnel files and conversations with staff confirm consumer involvement and leadership? |
| <p>B.2.2. The PIHP supports consumer's autonomy and independence in making decisions about the Drop In Center's operations and financial management.</p> | <p>Achieve social skills in a working environment to get things accomplished. Enhance decision-making abilities. A drop-in center demonstrates the</p> | <p>The site review team will examine:</p> <ul style="list-style-type: none"> • Minutes from meetings and participation of |

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| (Medicaid Provider Manual, Mental Health/Substance Abuse, 17.3.H.2.) | accomplishments of consumers in work roles. Learn from trial and error when pursuing projects. Increases consumer inclusion, independence, and productivity. Develop effective abilities and skills to live in community with confidence. | <p>members, staff, and board</p> <ul style="list-style-type: none"> • How conflicts are resolved between the CMHSP/PIHP and the drop- in Centers • Evidence of how much involvement the liaison has • How are issues suggested by the CMHSP/PIHP embraced or rejected by the drop- in centers • Who writes the checks for the financial responsibilities of running the drop-in center and how are actual purchases decided • The effectiveness of the working relationship between the CMH and the Drop-in as established by the assigned CMHSP liaison |
| <p>B.2.3. The Drop In Center is located at a non-CMH site.</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, 17.3.H.2.)</p> | Being a separate entity demonstrates the independence of the drop-in center. This provides consumers with a separate identity apart from CMHSP/PIHP. Compliance with the requirement keeps the informal social environment of a drop intact and keeps the structure of the mental health system from intruding on the day-to-day operations of the drop- in. A separate location also helps keep the environment casual, inclusive, and accepting. | The site review team will examine the physical setting of a drop in to ensure it is not located at a CMH site. Evidence of compliance may be ascertained through a visit to the Drop-In Program or through examination of other documentation, i.e., rental, lease or mortgage materials, or Service Agency Profile enrollment information. |
| <p>B.2.4. The Drop In Center has applied for 501(c)(3) status.</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, 17.3.H.2.)</p> | | <p>Acceptable documentation would consist of:</p> <ul style="list-style-type: none"> • incorporation certificate • a copy of the application materials submitted for 501(c)(3) |
| B.2.5. For those beneficiaries who have drop in services specified in their individual plan of service, it must be documented as medically necessary and | | The site review team will examine a sample of individual records as part of the site review process. If an individual plan of service specifies that an individual is |

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| <p>identify the amount, scope, and duration of the services to be delivered.</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, 17.3.H.2.)</p> | | <p>to receive Drop-In services, they will review the documentation to ensure that those services are documented as being medically necessary and that the individual plan of service identifies the amount, scope, and duration of services to be provided.</p> |
| <p>B. 3. HOME BASED</p> <p>(Medicaid Provider Manual, Mental Health and Substance Abuse Services, Section 7)</p> | <p>It is required that the entire service array for individuals with developmental disabilities, mental illness, or a substance use disorder, including Home-Based Services, are available throughout the PIHP's catchment are to individuals who need them.</p> | |
| <p>B.3.1. <u>Enrolled</u> by DCH.</p> | | <p>The site review team will review the letter of enrollment at the MDCH office prior to the review.</p> <p>The site review team will review the organizational structure, staff qualifications scope of service and location of service as outlined in PIHP policies to ensure that they are in accordance with Provider Manual requirements.</p> |
| <p>B.3.2. <u>Eligibility/Target pop:</u> Family unit with multiple service needs.</p> | <p>Refer to the Medicaid Provider Manual Section 7.2., 7.2.A., 7.2.B and 7.2.C. for eligibility criteria.</p> | <p>The site review team will verify that the assessments identify multiple service needs and the individual plans of service contain goals that reflect those identified needs.</p> <p>The site review team will verify by reviewing agency policy, clinical records and interviews with staff and consumers that the family requires assistance in accessing, managing and maintaining adequate and appropriate physical and/or behavioral health care, food, housing, education, job training or other needs as identified through the family-centered practice.</p> |
| <p>B.3.3.1. <u>Structure/Org:</u></p> <p>Home-based program has a centralized structure (identifiable service unit of an organization).</p> | <p>Refer to the Medicaid Provider Manual Section 7.1.</p> | <p>The site review team will verify that the PIHP and/or contract home-based program has a centralized structure. Are staff and supervision identified to the home-based program in program policy and procedures,</p> |

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| | | <p>organizational charts and employee job descriptions?</p> <p>Organizational charts and job descriptions must identify home-based services program responsibilities. Additionally, the site review team will verify that staff members providing home-based services are assigned exclusively to the home-based program.</p> |
| <p>B.3.3.2. Mechanism for service coordination and integration has been defined & utilized.</p> | <p>Refer to the Medicaid Provider Manual Section 7.1</p> | <p>The site review team will examine administrative policies and procedures to verify that they address service coordination and integration.</p> <p>Through clinical record review, the site review team will verify the home-based services demonstrate coordination and integration with other mental health services. Evidence compliance should be documented in a brief progress note that described the nature of the contact, and the date and length of time (start and stop).</p> <p>Service coordination might include meetings with DHS staff, school staff, court, letters to medical care providers, etc.</p> |
| <p>B.3.4.1. <u>Staffing</u>:</p> <p>Full time worker to family ratio does not exceed 1:15.</p> | <p>Refer to the Medicaid Provider Manual Section 7.</p> | <p>The site review team will verify the worker to family ratio by looking at the number of families receiving home based services and the number of staff assigned to provide home based services. Additionally, the site review team will verify that staff members providing home-based services are assigned exclusively to the home-based program.</p> |
| <p>B.3.4.2. The home based services worker to family ratio must accommodate the levels of intensity that may vary from two to twenty hours per week based on individual family needs.</p> | <p>Refer to the Medicaid Provider Manual Section 7.</p> | <p>The review team will review clinical records to ensure that the intensity of service fall within the 2-20 hours per week. Individuals who are being transitioned to another program or “graduation from home based services” may receive less than two hours per week if:</p> <ul style="list-style-type: none"> • The transition is clearly supported in the plan |

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| | | <p>and progress notes</p> <ul style="list-style-type: none"> • The transition lasts no more than six weeks |
| B.3.4.3. The program is supervised by a QMHP and Child Mental Health professional. | Refer to the Medicaid Provider Manual 1.7. | The site review team will verify by a review of the PIHP policy and procedure, staff personnel file and training record that the program supervisor meets the requirements outlined in the Medicaid Provider Manual and Administrative Rules. |
| B.3.4.4. Staff members are child mental health professionals. | Refer to the Medicaid Provider Manual 1.7. | The site review team will verify by a review of the PIHP policy and procedure, staff personnel file and training record that staff members meet the child mental health professional criteria and associated training requirements (24 hours annually of child/family specific training) and who is either a physician, psychologist, licensed master social worker, registered nurse or has a bachelor or master's degree from an accredited school in a mental health related field and one year of experience in the examination, evaluation and treatment of minors and their families. |
| B.3.4.5. Staff for individuals with a developmental disability must be a QMRP and a child mental health professional. | Refer to the Medicaid Provider Manual 1.7. | The site review team will verify by a review of the PIHP policy and procedure, staff personnel file, and training record that home based staff members that are working with a person with a developmental disability is both a QMHP and a QMRP. |
| B.3.4.6. Home-based assistants must be trained prior to beginning work with the beneficiary and family. | Refer to the Medicaid Provider Manual 7.1. Qualified Staff. | <p>The site review team will verify by a review of the PIHP policy and procedure, clinical record, staff personnel file and training record that home-based assistants are trained in the core training requirements of the PIHP, i.e., family-centered practice, Recipient Rights, grievance and appeal, limited English proficiency, cultural competence, safety, universal precautions and HIPAA.</p> <p>In addition, home-based assistants must be trained regarding the beneficiary's family-centered plan, including appropriate intervention and implementation</p> |

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| | | strategies, prior to beginning work with the beneficiary and family. |
| B.3.4.7. For home-based programs serving infants/toddlers (birth through age three) and their families, staff must be trained in infant mental health interventions. | Refer to the Medicaid Provider Manual 7.1. | The site review team will verify by a review of the PIHP policy and procedure, staff personnel file and training record that staff is trained specifically in providing infant mental health treatment. |
| B.3.5.1. <u>Presence in Family-Centered Plan:</u> Services provided by home based service assistants must be clearly identified in the family-centered plan of service. | Refer to the Medicaid Provider Manual 7.1. Scope of Service. | The site review team will review the clinical record to verify that the goals and objectives of the family-centered plan specify the interventions and implementation strategies of the home-based assistant. |
| B.3.5.2. Services must be based on a family-centered plan of service. | Refer to the Medicaid Provider Manual 7.1. Plan of Service. | <p>The site review team will review the clinical record to verify that the individual plan of service focuses on the child and his/her family. The family-centered plan should identify child and family strengths and individual needs, determine appropriate interventions, and identify supports and resources. It is developed in partnership with the family through a family-centered practice.</p> <p>The family centered plan of service and progress notes should include evidence that family members are involved in treatment. Examples might include the father establishing and implementing a quiet time after dinner for homework, parents attending parenting classes, and parents learning and using positive feedback for appropriate behaviors.</p> |
| B.3.5.3. Home based services are provided in the family home or community settings which all citizens use. | Refer to the Medicaid Provider Manual 7.1. Location of Service. | The site review team will evaluate home-based policy and procedures and progress notes to ensure that services are provided in the family home or community setting. Progress notes must identify the location of the contact. |
| B.4. ASSERTIVE COMMUNITY TREATMENT (Medicaid Provider Manual, Mental | The entire service array for individuals with a developmental disability, mental illness, or substance use disorder, including Assertive Community Treatment services, are available throughout the | |

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| Health/Substance Abuse, Section 4 - Assertive Community Treatment Program) | PIHP's catchment area to individuals who need them. | |
| B.4.1. The program has been approved by DCH to provide Assertive Community Treatment services. | ACT programs must meet the program enrollment requirements as outlined in the Medicaid Provider Manual 4.1., 4.2., and 4.3. | The site review team will review enrollment letters for each team to assure fidelity with the ACT Model. The site review team will review the letter of enrollment at the MDCH office prior to the review. |
| <p>B.4.2. <u>Eligibility/Target Pop:</u></p> <p>Persons with serious mental illness:</p> <ul style="list-style-type: none"> • who have difficulty managing medications without ongoing support • who have psychotic/affective symptoms despite medication compliance. • who have a co-occurring substance disorder • who exhibit socially disruptive behavior that puts them at high risk for arrest & inappropriate incarceration • who are exiting a county jail or prison • who are frequent users of inpatient psychiatric hospital services, crisis services, crisis residential services, or homeless shelters • who are older and have complex medical/medication conditions | Refer to the Medicaid Provider Manual 4.2. Target Population. | The site review team will review PIHP policy, professional assessments and individual plans of service to assure that individuals receiving ACT services meet the eligibility requirements as listed in the dimensions/indicators. |
| <p>B.4.3.1. <u>Structure/Organization:</u></p> <p>ACT services are provided by all members of a:</p> | Refer to the Medicaid Provider Manual 4.3. Essential Elements-Team-Based Service Delivery. | The site review team will review PIHP policy, the individual plan of service and ACT team member's progress notes to assure that all ACT team members share service delivery responsibilities. Progress notes should demonstrate that all ACT Team members are |

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| <ul style="list-style-type: none"> • Mobile • Multi-interdisciplinary team. | | involved in service delivery and that the ACT Team meets team composition requirements outlined in B.4.4.2. |
| | Refer to the Medicaid Provider Manual 4.3. Essential Elements-Team-Based Service Delivery and Section 13-Targeted Case Management. | <p>The site review team will review PIHP policy, assessments, individual plans of service and ACT team member progress notes to assure that beneficiaries are assisted in obtaining services and supports that are goal oriented and individualized.</p> <p>Case management services include assessment, planning linkage, advocacy, coordination and monitoring to assist beneficiaries in gaining access to needed health and dental services, financial assistance, housing, employment, education, social services, and other services and natural supports developed through the person-centered-planning process.</p> |
| B.4.3.3. For beneficiaries with co-occurring substance use disorders, individualized treatment will be integrated by the team as part of the overall treatment approach. | Refer to the Medicaid Provider Manual 4.3. Essential Elements-Team-Based Service Delivery, Individual Plans of Service and Section 12 Substance Abuse Services. | <p>The site review team will review PIHP policy, assessments, individual plans of service and ACT team member progress notes to assure that ACT beneficiaries with co-occurring substance use disorders are provided integrated treatment with appropriate goals, objectives and referrals if necessary for treatment of mental illness and co-occurring substance abuse.</p> <p>One potential indicator of the ACT program's ability to comply with this standard is whether ACT staff members have received training in treating co-occurring substance use disorders.</p> |
| B.4.3.4. ACT services and interventions must be consistent with medical necessity of the individual beneficiary with goal of maximizing independence. | Refer to the Medicaid Provider Manual 4.4 Elements of ACT. | The site review team will review PIHP policy, assessments, the individual plan of service and ACT team member's progress notes to assure that ACT services and interventions meet the individual's needs and are designed to promote the individual's independence. Contacts should be of a sufficient frequency and quantity to ensure that the individual's |

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| | | <p>needs are being met.</p> <p>Progress notes that demonstrate that ACT services have changed in intensity or location over time in order to promote individual independence would support a finding of compliance with this review dimension.</p> <p>A listing of individuals who have transitioned from ACT services to other services may also support that the ACT program has the desired philosophy of maximizing individual independence.</p> |
| B.4.3.5. ACT crisis response coverage services are available 24 hours a day, 7 days a week. Crisis response coverage includes psychiatric availability. | Refer to the Medicaid Provider Manual 4.3. Essential Elements-Availability of Services. | <p>The site review team will review PIHP policy and procedures, team meeting minutes, progress notes and interview staff and consumers to verify that ACT services are available 24 hours a day, 7 days a week, including crisis response coverage (psychiatric availability) and rapid response to de-compensation.</p> <p>The ACT program must have the capacity to involve the ACT psychiatrist in crisis response services when the nature of the individual's crisis would warrant this level of involvement.</p> <p>NOTE: if the PIHP's Access Service is used to respond to any after-hours calls made by ACT consumers, referral procedures should be in place to immediately link ACT consumers with the on-call ACT team member(s) without Access Services staff conducting any triage activities.</p> |
| B.4.3.6. ACT team meetings are held daily. | Refer to the Medicaid Provider Manual 4.3. Essential Elements-Team-Based Service Delivery. | The site review team will review PIHP policy and procedure and team meeting minutes to assure that ACT team meetings are held daily (Monday – Friday, exclusive of holidays). |
| B.4.3.7. Physician meets with team on a frequent basis. | Refer to the Medicaid Provider Manual 4.3. Essential Elements-Team Composition. | The site review team will review PIHP policies, procedures and team meeting minutes to assure that the physician meets with team on a frequent basis (at least |

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| | | weekly). |
| <p>B.4.3.8. ACT meetings cover:</p> <ul style="list-style-type: none"> a) Plans for deploying activities of the team; b) Discussion of urgent or emergent situations; c) Progress updates, clinical, medical needs as well as psychosocial interventions and supports. | <p>Refer to the Medicaid Provider Manual 4.3. Essential Elements-Team-Based Service Delivery.</p> | <p>The site review team will review PIHP policy and procedure and ACT team-meeting minutes to assure that the status of all beneficiaries is reviewed. Documentation of daily team meetings must address all individuals and identify all staff members present.</p> |
| <p>B.4.4.1. <u>Staffing:</u></p> <p>Team composition is sufficient in number to provide an intensive array of services on a 24-hour/7days a week basis (including capability of multiple daily contacts); and team size is based on a staff (excluding psychiatrist, peers who don't meet the paraprofessional or professional staff criteria and clerical staff) to consumer ratio of not more than 1:10.</p> | <p>Refer to the Medicaid Provider Manual 4.3. Essential Elements-Staff to Beneficiary Ratio.</p> | <p>The site review team will review PIHP policy and procedure, account for the number of ACT consumers served by the ACT team, account for the number of ACT staff full time equivalents and calculate whether the program meets the 1:10 requirement. This information will be gathered from the medical record numbers provided by the PIHP.</p> <p>Sources of information will include: ACT staff roster, listings of individuals receiving ACT services, and Organizational Charts.</p> |
| <p>B.4.4.2. Team must include:</p> <ul style="list-style-type: none"> a) One physician (MD or DO) assigned to the team; b) One full time team coordinator with a minimum of a master's degree with appropriate licensure/certification to provide clinical supervision, plus two years of clinical experience working with adults with serious mental illness; c) One RN licensed by the state of Michigan; d) Other professional staff licensed, certified | <p>Refer to the Medicaid Provider Manual 4.3. Essential Elements-Team Composition.</p> | <p>The site review team will review PIHP policy and procedures, organizational charts and personnel records to assure that the ACT team includes the required team composition. The site review team will look at staff position descriptions and credentials. In addition, the site review team will review clinical records to ensure that the documentation in the clinical record supports that supervision of non-professional staff (typically a counter signature on progress notes) occurred.</p> |

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| <p>or registered by the state of Michigan or national organizations to provided health care services;</p> <p>e) Non-professionals supervised by one of the above and documented in the clinical record.</p> | | |
| <p>B.4.4.3. All ACT team staff members must have a basic knowledge of ACT programs and principles acquired through ACT specific training.</p> | <p>Refer to the Medicaid Provider Manual Section 4.</p> | <p>The site review team will review PIHP policy and procedure and staff training records to assure that all ACT team staff members have a basic knowledge of ACT programs and principles acquired through ACT specific training, i.e., ACT 101 training.</p> |
| <p>B.4.5. The ACT program is an individually tailored combination of services and supports that may vary in intensity over time based on the beneficiary's needs and condition.</p> | <p>Refer to the Medicaid Provider Manual 4.5 Eligibility Criteria.</p> | <p>The site review team will review the individual's needs as identified in assessments, the amount, scope and duration of face to face contacts by the ACT team in the individual plan of service, and progress notes, to assure that the program provides an individually tailored combination of services and supports that meets the individual's needs.</p> |
| <p>B.4.6. Discharge is not prompted by cessation or control of symptoms alone, but is based on criteria that includes recovery and preference of consumer.</p> | <p>Refer to the Medicaid Provider Manual 4.5 Eligibility Criteria-Discharge.</p> | <p>The site review team will review the individual's needs as identified in assessments, the amount, scope and duration of face to face contacts by the ACT team in the individual plan of service, and progress notes, to assure that recovery is sufficient to maintain functioning without the support of ACT prior to discharge from ACT taking place.</p> <p>The site review team will review documentation to support that the beneficiary no longer meets the severity of illness criteria, engagement of the individual is not possible or the beneficiary has moved out of the geographic area prior to discharge from ACT.</p> |
| <p>B.4.7. Majority of ACT services are provided according to the beneficiary's preference and clinical appropriateness in the beneficiary's home or</p> | <p>Refer to the Medicaid Provider Manual 4.4. Elements of ACT "In Vivo" Settings.</p> | <p>The site review team will review progress notes to ensure that the majority of face-to-face contacts occur in the beneficiary's home or other community locations rather</p> |

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| other community locations rather than the team office. | | than the team office. |
| B.5. CLUBHOUSE PSYCHO-SOCIAL REHABILITATION PROGRAM (Medicaid Provider Manual, Mental Health/Substance Abuse, Section 5.) | | |
| B.5.1. Program is approved by DCH to provide Psycho-Social Rehabilitation Services. | | <p>The site review process will verify that PSR programs have gone through the required enrollment approval process. This is done to ensure that all PSR programs are operated in fidelity with the Medicaid Provider Manual.</p> <p>The site review team will verify the enrollment status of the program prior to conducting the on-site review. During the on-site review, the site review team will verify that no changes have taken place that would require re-enrollment of the program, i.e., change of provider or physical location.</p> <p>The PSR enrollment process conducted by the Department's PSR Specialist will ensure that the program day is of sufficient length to meet the expectations for PSR programs.</p> <p>Enrollment documentation maintained at the Department will be reviewed prior to conducting an on-site review. The program may also wish to maintain a copy of the enrollment approval letter issued by the Department.</p> |
| B.5.2. <u>Eligibility:</u> Individuals must have severe mental illness with identified psychosocial rehabilitation goals and the ability to participate in and benefit from the PSR program. | <p>PSR is designed to assist people with severe and persistent mental illness to become more independent and lead fulfilling lives. Therefore to be eligible for services individuals have to meet medical necessity criteria defined by the department.</p> <p>In order for the Clubhouse to function effectively, members must be willing to participate in activities.</p> | <p>The review team will look at the members' clinical records to verify that any individuals with a developmental disability also have a qualifying Axis I diagnosis.</p> <p>Clubhouse programs must maintain files or records that include the member's individual plan of service and other related information. Evidence of compliance will be</p> |

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| | <p>It is not appropriate for members to attend the PSR without participating in clubhouse activities or to simply attend the program in order to meet their spend-down requirements.</p> <p>PSR programs are designed specifically for individuals with severe and persistent mental illness. This includes individuals who have severe mental illness with a dual diagnosis.</p> | <p>sought by reviewing files and determining the presence and content of individual plans of service.</p> <p>The review team will look at clinical records (i.e. clinical assessments, psychiatric evaluations, individual plan of service) to ensure that individuals have a qualifying diagnosis for participating in PSR programs. Individuals must have a diagnosis that qualifies as a severe mental illness; a diagnosis of developmental disability or substance use disorder by itself is insufficient.</p> <p>PSR members must have goals identified in their individual plans of service that can be accomplished through being a part of the clubhouse program. The review team will review the individual plan of service to ensure that the plan contains goals for the PSR program. The individual should be able to change their PSR goals at whatever time they wish and have the new goals reflected in an amended or updated plan.</p> <p>The PSR goals must be integrated in the individual plan of service; the PSR should not have a separate plan.</p> |
| <p>B.5.3.1. <u>Structure/Organization:</u></p> <p>Members have access to the clubhouse during times other than the ordered day, including evenings, weekends, and all holidays.</p> | <p>Access to the Clubhouse program and services develops community inclusion, promotes a sense of belonging, increases meaningful activities and enhances member's social skills, as well as provides recreation opportunities.</p> <p>Members should have the opportunity to structure their time in hours other than the regular working day. By providing access to clubhouse program outside of the ordered day, the Clubhouse decreases member isolation. Attendance on actual holidays provides a sense of family for consumers that do not have family.</p> | <p>The review team will be looking for documentation that supports that the Clubhouse has provided activities and events for those holidays on which it is closed. Holidays are defined as any day set aside by law or custom for the suspension of business, usually in commemoration of some event.</p> <p>The Clubhouse membership may choose not to be open or to offer any Clubhouse services on a given holiday. However, if the clubhouse is closed on a holiday, the review team will look for evidence that the members were canvassed as to whether they wanted access to the Clubhouse program and services on that day. The Clubhouse should remain open or alternative Clubhouse activities should be provided on the holiday for any members who desire it. This process should be</p> |

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| | | <p>documented in Clubhouse meeting minutes or in another manner.</p> <p>The review team is also looking for a schedule that demonstrates that access to the clubhouse occurs during evening and weekends. Minimal compliance would be documentation that the clubhouse program provided services at least one night per week, and one weekend per month.</p> |
| <p>B.5.3.2. The program must have a schedule that identifies when program components occur.</p> | <p>A schedule assists in giving members structure in their day-to-day routines. A schedule instills order to one's day and enhances member ability to establish a routine outside of the Clubhouse.</p> | <p>The review team will look for such documentation as a posting of daily, weekly and monthly activities. This could be on paper or posted on a bulletin or chalkboard. An enlarged schedule posted in plain view in a reception area or by the entrance would demonstrate compliance with this requirement.</p> <p>The calendar should list out not only the "special events" but the whole schedule, including time slots for the work ordered day, lunch, support groups, and all the day to day functions of the clubhouse.</p> |
| <p>B.5.3.3. The program must have an ordered day; vocational & educational support; member supports (outreach, self help groups, sustaining personal entitlements, help locating community resources, and basic necessities); social opportunities that build personal, community and social competencies.</p> | <p>A work ordered day provides members with the skills to transition into competitive employment. A work ordered day encourages the success of members through vocational and educational experiences and allows members to achieve substantial work and social competencies. Outreach to members assists them with issues that may be holding them back. Self help groups enhance the quality of life and offer needed support and networking with individuals facing similar circumstances. Clubhouse programs help fulfill member's needs for food, clothing, shelter, transportation, and securing and maintaining entitlements. Members build relationships and acquire skills for inclusion in the community, as well as gain the ability to develop and nurture long-term relationships. A clubhouse gives individuals input</p> | <p>The review team will look for a copy of the clubhouse calendar or daily schedule that lists out the work-ordered day and what it consists of, as well as documentation which demonstrates consumer choice in selecting tasks and activities, i.e., sign up sheets, or member meeting minutes.</p> <p>The review team will look for evidence that the Clubhouse program links members to community resources, helps members obtain basic necessities, and builds social opportunities for members. Evidence of compliance will be obtained through interviews with Clubhouse members and reviews of member files.</p> |

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| | <p>from social situations to help monitor mental health symptoms, issues, and concerns.</p> <p>The work ordered day and the essential elements of a clubhouse are defined in the Medicaid Bulletin. These are the minimum standards.</p> | |
| <p>B.5.3.4. Services directly relate to employment, including transitional employment, supported employment, on-the-job training, community volunteer opportunities, and supports for the completion of educational and other vocational assistance must be available.</p> | <p>Clubhouse programs are designed to build skills that will enable members to achieve a full life style inclusive of employment. One of the goals of clubhouses is to develop member work skills so that they may graduate from the program and to encourage work outside the clubhouse.</p> <p>Employment related activities give members the opportunity to transition into positions independent of governmental supports and develop job skills that will last a lifetime.</p> | <p>The review team will look at how the Clubhouse assists in developing the member's ability to obtain and maintain employment. The Clubhouse should maintain evidence that supported employment, transitional employment, volunteer opportunities, and associations with employment agencies and services outside of the CMHSP/PIHP system are occurring. This could include linking with Michigan Jobs Commission, Michigan Works, Goodwill, Temporary Services, and other job placement offices.</p> <p>The review team will ask staff and members what agencies they have used for linking to employment services and their experiences with them. The review team will verify by record review that this is occurring. This will also be discussed as part of the member interview process.</p> <p>During clinical record reviews, the review team will evaluate how the PSR addresses employment in individual progress notes.</p> |
| <p>B.5.3.5. Members influence and shape program operations.</p> | <p>The purpose of this requirement is to give the membership some level of control of the day-to-day operations of the clubhouse. Members become confident as they realize they can make a difference. Being involved in shaping the program operations gives a sense of worth and contributes positively to the clubhouse.</p> <p>The Clubhouse philosophy is that the Clubhouse program should be run by members and staff. It is a</p> | <p>The Clubhouse should be able to demonstrate the process by which members shape and influence Clubhouse operations. Documentation, i.e., administrative policies, member meeting minutes, as well as program operation should clearly demonstrate members' involvement in designing and implementing the Clubhouse program.</p> <p>The review team will look at minutes from meetings and observe clubhouse operations to evaluate if members are dependant or independently influencing and shaping</p> |

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| | responsibility of clubhouse to make sure this happens. | Clubhouse operations. The department's Clubhouse specialist will also visit the program for one to two days during the initial enrollment process and also occasionally at other times for subsequent consultation purposes. |
| B.5.3.6. Staff and members work side by side to generate and accomplish individual/team tasks and activities necessary for the development, support and maintenance of the program. | Working side by side with staff members enables the members to develop a sense of teamwork and program ownership. It increases social interactions and provides opportunities for positive role modeling. Associations with other members and staff makes it easier for members to reach their goals and helps members focus on completing required tasks for a longer period of time. When members actively work on individual and team tasks they can build an appreciation for their involvement and contribution, and have an interest in its success. | The review team will observe how staff and members interact with each other and assess whether the interactions promote or discourage staff and members from working together in operating the Clubhouse. Are interactions verbally encouraging or dictatorial, and/or controlling? Does the physical layout of the Clubhouse promote or discourage member-staff interaction? During interviews with Clubhouse members, the review team will ask if staff and members are working side-by-side to accomplish PSR program tasks and activities. |
| B.5.4.1. <u>Staffing</u> : The program has one full time on-site clubhouse manager who is a qualified professional and has extensive experience with the target population and is licensed, certified, or registered by the State of Michigan or a national organization to provide health care services. | Properly qualified and trained staff is essential to effective Clubhouse functioning. Training and experience enhance the employee's ability to work with members to effectively operate the Clubhouse program. A fulltime manager is essential for successful Clubhouse operation and demonstrates the PIHP's commitment to PSR philosophy and the ongoing success of the program. | The review team will look at the personnel record of the identified director of the clubhouse program to ensure that the manager is full time and on-site. The manager must not have job responsibilities in addition to being the clubhouse manager. One individual cannot be the clubhouse manager for more than one clubhouse program and still meet the requirement. The team will look at the license, education, training and experience of the individual to assure that the manager is a qualified professional. The requirement that a manager has extensive experience will be considered met by the team if the manager has two or more years of experience working with the target population. |
| B.5.4.2. Non-professional staff work under the documented supervision of a qualified professional. | This requirement helps ensure that proper oversight of staff occurs and increases the likelihood that staff members will effectively assist with attaining | Organizational charts and performance evaluations should support that appropriate supervision is taking |

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| | Clubhouse goals in a manner consistent with Clubhouse philosophy. | <p>place.</p> <p>Interviews with staff and members should support that the Clubhouse manager is actively involved in on-site supervision of staff members and Clubhouse operations.</p> <p>The site review team will also examine progress notes as a potential source of evidence that the Clubhouse program is meeting the requirement for appropriate supervision. The supervisor's co-signing of progress notes written by staff will be accepted as one source of evidence that appropriate supervision is taking place.</p> |
| <p>B.5.5.1. <u>Presence in the Plan</u></p> <p>Services reflect the member's preferences and needs.</p> | Members choose what dreams and desires produce meaningful activities. Each member chooses his or her own individual plan of service path. Goals are set individually and members have the ability to pick and choose the activities that are truly their preference. Choice can be realized in the nurturing environment of the Clubhouse. Members have the right to decide what to do or not do to fulfill their needs | <p>The site review team will review individual plans of service and verify that the plans reflect member's desires, needs, goals, dreams, and hopes. The review team will look for goals to be consumer driven and not clinical in nature.</p> <p>Member preferences should be reflected in the person-centered plan and continually monitored in progress notes. Interviews with members should also confirm that services reflect the member's preferences and needs.</p> |
| B.5.5.2. Members establish their own schedule. | This helps to develop member's decision-making abilities and complies with Clubhouse model principles. The requirement also speaks to individual control in the way members spend their time. A schedule can also assist in keeping members active and connected to the program. | <p>The review team will interview several members during the work ordered day and ask them if the activity they are taking part in was one they chose.</p> <p>The review team will also look at how the work schedules are developed at an individual level to verify that members are establishing their own schedule.</p> |
| B.5.5.3. Members receive support towards recovery from fellow members and staff. | <p>The requirement encourages social interaction and the development of positive relationships. Members working side by side with other members and staff helps support personal recovery, increases self-esteem, and promotes inclusion.</p> <p>Staff and members are role models of recovery.</p> | <p>The review team will meet with clubhouse members and inquire about mutual supports. Evidence of compliance would include confirmation from members that there is an atmosphere of recovery and growth within the Clubhouse program.</p> <p>The review team will look to see that the Clubhouse</p> |

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| | <p>Working in groups helps to build strong ties and real life experiences on how every one fills their needs within the clubhouse.</p> <p>PSR actually assists with recovery by inspiring confidence, helping people grow, and building alliances to aide in their recovery. Members learn from other members about how recovery happens.</p> | <p>program offers self help groups, recovery based activities, and peer support initiatives for active members and alumni as evidence of compliance with the requirement.</p> |
| <p>B.6. CRISIS RESIDENTIAL SERVICES</p> <p>Medicaid Provider Manual, Mental Health/Substance Abuse, Section 6.)</p> | | |
| <p>B.6.1. Program is:</p> <ul style="list-style-type: none"> • Approved by DCH • Provided in DHS licensed and certified settings. | | <p>A written program description of the service to be provided is submitted to DCH for approval. The services must be provided under the auspices of an enrolled PIHP. The PIHP must identify the crisis residential program as part of their registration process with MDCH.</p> <p>The crisis residential service where the treatment is to be provided must have a current licensed and certification from the Department of Human Services.</p> <ul style="list-style-type: none"> • The team coordinator will check the current status of the program prior to site review. • The site review team will check current DHS licensure and certification of the residential home during a site visit to the home. • Discussion with CRU staff |
| <p>B.6.2. <u>Eligibility:</u></p> <p>Persons who meet psychiatric inpatient admission criteria, but who have symptoms and risk levels that permit them to be treated in alternative settings.</p> | <p>Services are designed for those beneficiaries who meet psychiatric inpatient admission or at risk of admission, but who can be appropriately served in settings less intensive than a hospital.</p> | <p>The review team will review access center referral notes and admission or assessment documentation to ensure that eligibility criteria are met.</p> |

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| <p>B.6.3.1. <u>Structure/Organization</u></p> <p>Services must be designed to resolve the immediate crisis and improve the functioning level of the person receiving services to allow them to return to less intensive community living as soon as possible.</p> | <p>Since the program is a short term, the plan of service of the individual admitted to crisis residential should focus on alleviating the symptoms, improving his or her coping skills and increasing knowledge about community resources.</p> | <p>The review team will look at the individual's plan of service, psychiatrist notes, case manager's notes, RN notes and direct care staff progress notes to assess whether services are designed to resolve the crisis that led to admission and to improve the individual's functioning level.</p> |
| <p>B.6.3.2. Covered services include: psychiatric supervision; therapeutic support services; medication management/stabilization and education; behavioral services; and nursing services.</p> | <p>Required covered services help the individual develop insight into their problems, improve coping skills or problem solving skills and increase compliance with their medication regime.</p> | <p>The team will review the individual plans of service, psychiatric progress notes and staff progress notes to ensure that the full range of covered services are provided.</p> <p>Documentation should include a schedule that delineates when services and supports are being provided to the individual.</p> |
| <p>B.6.3.3.(a) Child Crisis Residential Services Settings - Nursing services must be available through regular consultation and must be provided on an individual basis according to the level of need of the child.</p> | | <p>The site review team will:</p> <ul style="list-style-type: none"> • Review agency policy and procedure that defines availability of nursing services through regular consultation, i.e., daily for 4 hours or once or three times a week • Review personnel files and training records of the nursing staff providing consultation to the children' crisis residential homes. • Interview CRU Staff. |
| <p>B.6.3.3.(b) Adult Crisis Residential Settings - On-site nursing for settings of 6 beds or less must be provided at least 1 hour per day, per resident, 7 days per week, with 24 hour availability on-call.</p> <p style="text-align: center;">OR</p> <p>On-site nursing for settings of 7-16 beds must be provided 8 hours per day, 7 days per week, with 24</p> | | <p>For adult Crisis residential services, with six beds or less the program must include on-site nursing services. With 24 hour availability (RN or LPN under appropriate supervision). It is expected that the RN/LPN must have one-hour contact daily per resident, seven days a week.</p> <p>However, for crisis residential that is licensed for 7-16 beds. On-site nursing is required 8 hours a day, 7 days a week, with 24, hour's availability. The team will review</p> |

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| hour availability on-call. | | the RN/LPN schedule to determine if there is adequate nursing services coverage to meet the standards. |
| <p>B.6.4. <u>Staffing:</u></p> <p>Treatment services must be provided under supervision of a psychiatrist and under the immediate direction of a professional possessing at least a bachelor's degree in a human services field, and who has at least 2 years work experience providing services to beneficiaries with a mental illness.</p> | <p>The psychiatrist is the primary treatment provider; therefore he is expected to be involved onsite in the course of treatment of the individual and oversight of the program. Additionally, the educational background and work experience of the professional staff supervising the direct care staff is essential in the successful operation of the program.</p> <p>Reference Medicaid Provider Manual Section 6.4.</p> | <p>The team will review the role of the psychiatrist in the treatment planning process and look for the psychiatrist's signature on the plan of service to assure that he/she approved the individual plan of service developed by the team. The team will also look for the presence of other evidence that supports that the treatment is provided under the supervision of a psychiatrist. This evidence could include on-site psychiatric treatment and supervision of the program, staff supervision notes, meeting minutes, psychiatric review and signature on the individual plan of service, etc.</p> <p>The review team will review the personnel file of the crisis residential home manager to ensure they have the requisite experience, as well as review the staffing schedule to ensure that the home manager works full time at the crisis residential program.</p> |
| <p>B.6.4.1. Non-degreed staff who carry out treatment activities must have at least one year of satisfactory work experience providing services to beneficiaries with mental illness or have successfully completed a PIHP/MDCH approved training program for working with beneficiaries with mental illness.</p> | <p>Paraprofessional staff must be experienced and have received training necessary to ensure their competency on the job.</p> | <p>The review team will review personnel and training files to determine if experience requirement is met. The team will also review the training curriculum to ensure that it was approved by the Department, as well as review agency policy and procedure regarding supervision of non- professional staff.</p> |
| <p>B.6.5.1. <u>Individual Plan of Service:</u></p> <p>Plan must be developed within 48 hours of admission.</p> | <p>Services must be delivered according to individual plan of service based on an assessment of immediate needs of an individual.</p> <p>Since the program is short term, the plan is required to be completed within 48 hours of admission and signed by the beneficiary if possible.</p> | <p>The review team will review the date when the initial plan of service was completed by the crisis residential staff to ensure that it was completed within 48 hours of admission to the crisis residential program.</p> |
| <p>B.6.5.2. The plan must contain clearly stated goals and measurable objectives, derived from the assessment of immediate need, stated in terms of</p> | | <p>The review team will:</p> <ul style="list-style-type: none"> • Review the individual plan of service to check |

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| specific observable changes in behavior, skills, attitude, or current circumstances structured to resolve the crisis (Children's plan of service must address the child's needs in context with the family's needs and in consultation with school district staff) and identify the activities designed to assist the person receiving services to attain his/her goals and objectives | | <p>whether the goals are clearly stated and if objectives are measurable.</p> <ul style="list-style-type: none"> Review assessments and initial physician, case management, nursing, and direct care staff notes to ensure that the goals and objectives flow from an assessment of the individual's needs and are designed to resolve the current crisis. |
| B.6.5.3. The plan of service must contain discharge planning information and the need for aftercare/follow-up services, including the role and identification of the case manager. | | The site review team will review the individual plan of service to ensure that discharge planning and the need for any follow-up services is addressed in the plan. The case manager and their role in assisting with aftercare services must be identified in the plan of service. |
| B.6.5.4. The plan of services is signed by the individual receiving services, his or her parent or guardian if applicable, the psychiatrist and any other professionals involved in treatment planning. | | The review team will review the plan of service and look for signatures of the consumer/guardian, psychiatrist and the treatment team. |
| B.6.5.5. If the individual has an assigned case manager, the case manager must be involved in treatment, as soon as possible, including follow-up services. | | The review team will examine clinical record documentation, i.e., crisis residential notes, and case management contact notes, to ensure the case manager's involvement in treatment and follow-up services. |
| B.6.5.6. If the length of stay in the crisis residential program exceeds 14 days, the interdisciplinary team must develop a subsequent plan based on comprehensive assessments. | | <p>There must be clinical justification for individuals to receive crisis residential services for more than 14 days. The reviewer will look for and examine the following documentation:</p> <ul style="list-style-type: none"> Updated current assessment or new assessment based on the changes of beneficiary's medical or psychosocial status. Updated plan of service based on the current assessment. |
| B.7. TARGETED CASE MANAGEMENT | Targeted case management is a covered service that assists beneficiaries to design and implement | |

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| (Medicaid Provider Manual, Mental Health/Substance Abuse, Section 13) | strategies for obtaining services and supports that are goal oriented and individualized. Services include assessment, planning, linkage, advocacy, coordination and monitoring to assist beneficiaries in gaining access to needed health and dental services, financial assistance, housing, employment, education, social services, other services and natural supports developed through the person centered planning process. | |
| B.7.1. Case management programs must be registered with DCH. | | <p>The site review team will verify program registration either at the MDCH office or at the provider.</p> <p>Sources or documents evidencing compliance would include:</p> <ul style="list-style-type: none"> • Enrollment Letters • MDCH Records • Administrative Records |
| <p>B.7.2. <u>Eligibility:</u></p> <p>Children with serious emotional disturbance, adults with mental illness, persons with a developmental disability, and those with co-occurring substance use disorders who have multiple service needs; have a high level of vulnerability; require access to a continuum of mental health services; or are unable to independently access and sustain involvement with services.</p> | Refer to the Medicaid Provider Manual Section 13- Targeted Case Management. | <p>The site review team will review assessments to identify multiple service needs and to verify that individual plans of service contain goals reflecting those identified needs that require assistance in accessing, managing and maintaining adequate and appropriate physical and/or behavioral health care, food, housing, education, job training or other needs as identified through the person-centered-planning process.</p> <p>Evidence of compliance would include:</p> <p>MDCH Records</p> <p>Administrative Policies and Procedures</p> <p>Administrative Staff Interview</p> |

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| | | <p>Individual Case Records</p> <p>Clinical Staff Interview</p> <p>Consumer/Family Interview</p> |
| <p>B.7.3.1. <u>Structure/Organization</u></p> <p>Provider must have capacity to perform a face-to-face assessment and produce a written report.</p> | <p>Refer to the Medicaid Provider Manual Section 13.3. Core Requirements-Assessment.</p> | <p>The site review team will review assessments to assure that they comprehensively address the beneficiary's needs/wants, barriers to needs/wants, supports to address barriers, and health and welfare issues. Assessments must be current.</p> |
| <p>B.7.3.2. Persons must have a choice of case management providers.</p> | <p>Refer to the Medicaid Provider Manual Section 13-Targeted Case Management.</p> | <p>The site review team will review PIHP policy and procedure for assigning case managers, and interview staff and beneficiaries to verify that beneficiaries are provided a choice of qualified case management staff upon initial assignment and on an ongoing basis.</p> <p>Evidence of compliance could be found in:</p> <p>Administrative Records Policies and Procedures</p> <p>Administrative Staff Interview</p> <p>Individual Records</p> <p>Clinical Staff Interview</p> <p>Consumer/Family Interview</p> |
| <p>B.7.3.3. Program provides the core elements of case management: assessment, linking/coordination, and monitoring.</p> | <p>Refer to the Medicaid Provider Manual Section 13.3. Core Requirements-Assessment.</p> | <p>The site review team will look for evidence that the person-centered-planning process takes place and results in an individual plan of service that:</p> <p>Identifies what services and supports will be provided.</p> <p>Identifies who will provide the services.</p> <p>Identifies how the case manager will monitor the</p> |

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| | | <p>identified services and supports.</p> <p>Provides support for the beneficiary's dreams, goals and desires for promoting recovery.</p> <p>Assists in development and maintenance of natural supports.</p> <p>Assures the participation of the beneficiary.</p> <p>Identifies gaps in service provision.</p> <p>Coordinates services and supports, makes referrals and advocates for the beneficiary.</p> <p>Coordinates with primary and other health care providers.</p> <p>Assists in crisis planning.</p> <p>Identifies after hours contact.</p> |
| B.7.3.4. Providers must document initial and ongoing training for case managers related to core requirements. | Refer to the Medicaid Provider Manual Section 13.1. Provider Qualifications. | The site review team will review PIHP policies, personnel files and staff training records to assure that ongoing training occurs for case managers related to the core requirements. |
| <p>B.7.4. <u>Staffing:</u></p> <p>Primary case manager must be a professional who possesses a bachelor's degree in human services.</p> | Refer to the Medicaid Provider Manual Section 13.4. Staff Qualifications. | The site review team will review PIHP policy, personnel records and clinical records to assure that the primary case manager is a QMRP and/or a QMHP; or if the case manager only has a bachelor's degree but without specialized training or experience he/she is supervised by a QMRP or QMHP. In the latter case the site review team will look for counter signatures on documents prepared by untrained and/or inexperienced staff. |
| B.8. PERSONAL CARE IN LICENSED RESIDENTIAL SETTINGS | | |

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| <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, Section 11)</p> <p>Administrative Rule R330.1801-09 (as amended in 1995)</p> | | |
| <p>B.8.1. <u>Structure/Organization:</u></p> <p>B.8.1.1. Personal care services are authorized by a physician or the case manager or supports coordinator in accordance with an individual plan of service, and rendered by a qualified person. These personal care services are distinctly different from the state plan Home Help program administered by DHS.</p> <p>R 330.2810</p> <p>Medicaid Provider Manual, Section 11</p> | | <p>The team will review individual records and personnel records to determine compliance with the personal care services requirements as outlined in the Medicaid Provider Manual.</p> <p>The IPOS must clearly identify that services were appropriately authorized (a physician, case manager or supports coordinator), and rendered by a qualified person.</p> <p>Supporting documentation can be found in:</p> <ul style="list-style-type: none"> • Individual records, including the individual plan of service. • Personnel record review to determine qualifications |
| <p>B.8.1.2. Personal care services can only be provided in a licensed foster care setting with a specialized residential program certified by the state.</p> <p>Medicaid Provider Manual, Section 11</p> | | <p>The site review team will visit a sample of specialized residential sites, review clinical records, and personnel records as well as conduct interviews to ensure that the specialized mental health residential contract requirements are met.</p> <p>Site review team members, including nurses, will conduct residential site reviews to monitor the provision of personal care services delivered. The areas of health and safety of those individuals at the site will also be reviewed. While it is not the team member's intent to duplicate the DHS certification review, any findings of overt violations of known licensing requirements or health or safety risks to individuals residing in licensed</p> |

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| | | <p>settings will be shared with staff and noted in the report.</p> <p>Clinical records will be carefully reviewed to determine if:</p> <ul style="list-style-type: none"> • Services were provided in licensed foster care settings with a DHS certification for a specialized residential program. • Services are provided in accordance with the individual plan of service to assist the beneficiary in performing his/her personal daily care activities (inclusive of desired outcomes/goals/objectives). • Services are different from the state plan Home Help program administered by DHS. <p>Personnel record review will ensure that services are rendered by a qualified person.</p> |
| <p>B.8.2. <u>Staffing:</u></p> <p>Supervision of personal care services must be provided by a health care professional that meets the qualifications outlined in the Medicaid Provider Manual.</p> <p>R 330.2805</p> <p>R 330.2806</p> <p>Medicaid Provider Manual, Section 11</p> | | <p>The team will review clinical records and personnel records to evaluate whether the supervision of personal care services was provided by a health care professional (a physician, registered nurse, physician's assistant, nurse practitioner, dietician). The services rendered must be relevant to the health care professional's scope of practice.</p> <p>Clinical record review will determine if:</p> <ul style="list-style-type: none"> • Services are identified in the IPOS (equivalency to 3803's justification) • personal care services are authorized by a physician, case manager, or supports coordinator <p>Personnel record reviews will determine if personal care services are:</p> |

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| | | <ul style="list-style-type: none"> • Supervised by a qualified person • Provided by staff members who have been appropriately trained |
| <p>B.8.3.1. The file contains an assessment of the beneficiary's need for personal care.</p> <p>Medicaid Provider Manual, Section 11.3</p> | | <p>The need for personal care services must be clearly identified in an assessment. The site review team will examine clinical records for current assessments that evaluate and describe the individual's need for personal care services.</p> |
| <p>B.8.3.2. The specific personal care services to be delivered are identified in the individual plan of service.</p> <p>Medicaid Provider Manual, Section 11.3</p> | <p>Personal care services include assistance with:</p> <ul style="list-style-type: none"> • Food preparation, clothing, laundry, housekeeping • Eating/feeding • Toileting • Bathing • Grooming • Dressing • Transferring (bed, chair, wheelchair, stretcher) • Ambulation • Assistance with self-administered medications | <p>The site review team will examine clinical records to verify the presence of current plans that describe the individual's need for personal care services.</p> <p>Clinical record reviews will be conducted to determine if the individual plan of service:</p> <ul style="list-style-type: none"> • Addresses the personal care services to be provided • Identifies the amount, scope and duration of personal care services |
| <p>B.8.3.3. The plan must be reviewed and approved at least once per year during person-centered planning.</p> <p>Medicaid Provider Manual, Section 11.3</p> | | <p>The site review team will examine clinical records for compliance with the requirement of yearly review and approval.</p> |

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| | | <p>Documentation in the individual plan of service must identify the frequency of periodic review of the plan (minimally once a year).</p> <p>Periodic reviews must be occurring at the identified frequency.</p> <p>At a minimum, the plan of service must be approved by a qualified person once a year.</p> |
| <p>B.8.3.4. Documentation of the delivery of personal care services is consistent with how the individual plan of service specifies those services that are to be provided and includes the specific days on which personal care services were delivered.</p> <p>Medicaid Provider Manual, Section 11.3</p> | <p>Delivered personal care services should match the amount, scope and duration of services identified in the individual plan of service.</p> | <p>The site review team will compare the services provided with the individual plan of service to determine if documentation of the delivery of personal care services is consistent with how the individual plan of service specifies those services. This includes the specific days on which personal care services were delivered.</p> <p>Documentation (i.e., progress notes, service log) of the specific days that personal care services were delivered must be maintained for review and demonstrate consistency with the individual plan of service.</p> |
| <p>B.9. INPATIENT PSYCHIATRIC HOSPITAL ADMISSION</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, Section 8; M.C.L. 330.1209(a))</p> | | |
| <p>B.9.1. Inpatient pre-screening services must be available 24 hours a day, 7 days a week.</p> | <p>Refer to the Medicaid Provider Manual Section 8 Inpatient Psychiatric Hospital Admissions. PIHP responsibilities include ensuring that direct operated crisis screening and any contractual screening services cover the 24-hour period, seven days per week.</p> | <p>The site review team will review PIHP policies and procedures, as well as interview staff and consumers to assure that inpatient pre-screening services are available 24 hours a day, 7 days a week.</p> <p>Administrative policies and procedures need to identify how the screening process is available 24-7.</p> <p>The review team will look at sample of inpatient pre-admission screenings to see if they demonstrate that services</p> |

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| | | were available 24-7. |
| B.9.2. Disposition is completed within three hours | Refer to the standards for reporting the pre-admission screening timeliness for the performance indicator system. Those requirements may be found in the Reporting Requirements attached to the contract. | <p>The review team will look at sample of inpatient pre-admission screenings to see if decisions were made within the three-hour time frame identified in the performance indicator system.</p> <p>The review team will look for evidence of a recorded start time: When the beneficiary is clinically, medically and physically available to the CMHSP/PIHP. When emergency room or jail staff informs CMHSP/PIHP that is ready to be assessed or when an individual presents at an access center and is clinically cleared.</p> <p>Next, the review team will look for recorded evidence of the time the evaluation actually begins.</p> <p>Finally, the review team will look for evidence of a recorded stop time when the clinician (in the access center or emergency room) who has the authority or the utilization management unit that has the authority, makes the decision whether or not to admit the beneficiary to a psychiatric unit of a hospital.</p> <p>Note: After the decision is made the clock stops but other activities will continue such as transportation, arranging for hospital bed and or crisis stabilization.</p> |
| B.9.3. Severity of illness and intensity of service criteria are appropriately employed in admission or denial decisions. | | <p>The site review team will review consumer pre-screening records to assure that the severity of illness (SI) and intensity of service (IS) criteria are appropriately employed in admission or denial decisions. Refer to the Medicaid Provider Manual Section 8.5. Eligibility Criteria.</p> <p>Unless documented needs are not addressed, the site review team will not second guess SI or IS determinations made by screening staff.</p> |

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| B.9.4. The PIHP is responsible for coordination with substance abuse treatment providers when appropriate. | | <p>The site review team will review consumer pre-screening records to assure that coordination with substance abuse treatment providers is documented and occurs when appropriate. Refer to the Medicaid Provider Manual Section 8.5. Eligibility Criteria.</p> <p>If the screening process identifies a substance disorder then the site review team will be looking at the documentation to ensure that an appropriate substance disorder referral was made. It is a clinical judgment by the PIHP screening staff member as to whether a substance disorder exists, but if substance use was a contributing factor to the individual's need for inpatient screening, then there is an expectation that a substance disorder treatment referral or services will be provided.</p> |
| B.9.5. The PIHP provides or refers and links to alternative services, when appropriate. | | <p>The site review team will review consumer pre-screening records to assure that the PIHP provides or refers and links to alternative services, when individuals have been assessed as not meeting the criteria for inpatient psychiatric hospitalization admission. The site review team will verify that referral appointments include the date, time, program, service and contact person.</p> <p>General referrals by themselves are not sufficient. The site review team will be looking to see if linking is taking place according to the customer services standards in place for PIHPs.</p> |
| B.9.6. The PIHP provides notice of rights to a second opinion in the case of denials. | | <p>The site review team will review consumer pre-screening records to verify documentation that the PIHP provides notice of rights to a second opinion in the case of denials. The site review team will be looking for documentation that supports that the individual was given notice of their rights to a second opinion when they were denied requested inpatient admission. If a denial is done over the telephone, the review team will be looking for documentation that shows the individual was mailed a copy of their right to second opinion. The review team's default assumption will be that inpatient pre-admission screening activity is being completed in</p> |

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| | | <p>response to a request for inpatient psychiatric admission, unless documentation supports that the individual was being assessed for another reason.</p> |
| <p>B.9.7. The PIHP communicates with treating and/or referring providers.</p> | | <p>The site review team will review consumer pre-screening records and other information from the individual clinical record to verify that the PIHP communicates with treating and/or referring providers.</p> <p>If the individual is currently receiving services elsewhere in the PIHP system, there is an expectation that the PIHP have a process and documented evidence that the individuals who conduct the screening activities are communicating the fact that the individual presented for screening and the disposition of the screening to other treating providers.</p> <p>For referring providers outside of the PIHP system, the review team will look for the presence of a release of information form that allows the PIHP to communicate with the referring provider.</p> <p>Be aware, that there is special protection for information about individual's substance disorder treatment, which would require specific consent by the individual prior to such information being shared, even within a provider network.</p> |
| <p>B.9.8. The PIHP communicates with the primary care physician or health plan.</p> | | <p>The site review team will review consumer pre-screening records and other materials for documentation that the PIHP communicates with the PIHP communicates with the primary care physician or health plan.</p> <p>The review team will look for documentation (i.e. release of information forms and evidence of communication between the PIHP and the primary care physician or health plan. The PIHP should maintain a copy of any such correspondence in the beneficiary's clinical record.</p> |

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| <p>B.9.9. The PIHP must review inpatient psychiatric services at regular intervals to determine the continued necessity for care in an inpatient setting.</p> | | <p>The site review team will review consumer pre-screening records for documentation that the PIHP reviews at regular intervals the current status of treatment to determine the continued necessity for care in an inpatient setting. Refer to the Medicaid Provider Manual Section 8.5.D. Inpatient Psychiatric Care-Continued Stay Criteria: Adults, Adolescents and Children.</p> <p>The review team will review continuing stay reviews to ensure that the PIHP is adhering to their own policies concerning the frequency with which continuing stay reviews are to be completed.</p> |
| <p>B.9.10. The PIHP is responsible for ensuring that discharge planning is completed in conjunction with hospital personnel.</p> | | <p>The site review team will review consumer pre-screening records for documentation that supports that discharge planning is completed in conjunction with hospital personnel. Supporting documentation, i.e., continuing stay reviews, discharge plans, progress notes, etc., should demonstrate that PIHP staff members have been actively involved in discharge planning activities. Evidence of active involvement could include documented phone calls with hospital staff, and attendance at discharge planning meetings.</p> |
| <p>B.10. INTENSIVE CRISIS STABILIZATION SERVICES</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, Section 9)</p> | <p>It is important to differentiate an Intensive Crisis Stabilization Services program from general crisis intervention services. Crisis intervention services are unscheduled activities that are provided in response to a crisis situation. Crisis intervention services include crisis response, crisis line, assessment, referral, and direct therapy. By way of contrast, Intensive Crisis Stabilization Services is a short-term alternative to inpatient psychiatric hospitalization provided by a professional treatment team under the supervision of a psychiatrist. Intensive Crisis Stabilization Services programs must be formally approved by the Department of Community Health.</p> | |

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| B.10.1. Program is approved by DCH. | | A written program description of the Intensive Crisis Stabilization Services program is submitted to DCH for approval. The program must be provided under the auspices of a PIHP. The team coordinator will check the current approval status of the Intensive Crisis Stabilization Services program prior to conducting the on-site review. |
| <p>B.10.2. <u>Eligibility</u>:</p> <p>Persons with a diagnosis of mental illness or mental illness with a co-occurring substance abuse disorder, or developmental disability, who have been assessed to meet criteria for psychiatric hospital admission, but who with intense interventions, can be stabilized and served in their usual community environments or persons leaving inpatient psychiatric services if crisis stabilization services will result in shortened inpatient stay.</p> | | <p>Intensive Crisis Stabilization Program services are structured treatment and support activities provided by a mental health crisis team and intended to provide a short-term alternative to in-patient services. The services may be used to avert a psychiatric admission or to shorten the length of an inpatient stay when clinically appropriate.</p> <p>Intensive Crisis Stabilization Program services are designed for beneficiaries who have been assessed to meet the eligibility criteria for psychiatric hospitalization admission, but with intense interventions, can be stabilized and served in their usual community environments. This means that the program must have the capacity to provide intensive crisis stabilization services in the individual's home or other community settings, according to the preferences of the individual receiving services. Intensive crisis stabilization services must not be provided exclusively or predominately in established residential program settings, crisis centers, or screening centers.</p> <p>Beneficiaries must have a diagnosis of mental illness or mental illness with co-occurring substance abuse disorder or developmentally disability to be eligible for Intensive Crisis Stabilization Services.</p> <p>To assess compliance with this review dimension, the site review team will look for supporting documentation of compliance in:</p> |

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| | | <ul style="list-style-type: none"> • the access referral form • hospital discharge notes • Review of the admission notes by the caseworker • Clinical record • psychiatric notes |
| <p>B.10.3.1. <u>Structure/Organization:</u></p> <p>Intensive/Crisis stabilization services are intensive treatment interventions delivered by an intensive/crisis stabilization treatment team under psychiatric supervision. (Direct on-site supervision is not required, but the psychiatrist must be available by telephone at all times.)</p> | <p>The program must have an identified team of staff members responsible for providing intensive crisis stabilization services. The team must contain mental health professionals and may contain properly trained para-professionals.</p> <p>The program must be under the supervision of a psychiatrist who approves the treatment modality of a consumer according to his needs.</p> | <p>The site review team will review:</p> <ul style="list-style-type: none"> • clinical records such as progress notes by the assigned team. • psychiatric contact notes <p>The review team will also look for the psychiatrist's signature on the individual plan of service as evidence of psychiatric supervision of the program. The program must be able to demonstrate that the psychiatrist is available by telephone at all times.</p> |
| <p>B.10.3.2. Services include intensive individual counseling/psychotherapy, assessments (rendered by the treatment team), family therapy, psychiatric supervision and therapeutic support services by trained paraprofessionals.</p> | <p>Mental health professionals, who work with consumers receiving Intensive Crisis Stabilization Services, provide intensive treatment to prevent future crisis with education and support on coping skills, medication education and use of community resources. Family involvement in the treatment process is strongly encouraged if needed.</p> | <p>The site review team will review:</p> <ul style="list-style-type: none"> • individual plan of service and look for services appropriate for the individual's needs • family involvement and the use of other natural supports in the intensive crisis stabilization services • caseworker progress notes to determine if frequency of contacts match the identified service amount, scope and duration in the individual plan of service |

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| <p>B.10.4.1 <u>Staffing</u>:</p> <p>Professionals providing intensive crisis stabilization services must be a mental health care professional.</p> | | <p>A mental health professional includes a psychiatrist, psychologist, appropriately licensed social worker, a registered social worker technician under the supervision of a professional, professional counselor, psychiatric nurse, or registered nurse under the supervision of a professional (Refer to staff Provider Qualification in the program requirement).</p> <p>The site review team will review:</p> <ul style="list-style-type: none"> • staff personnel files to ensure current licensure/registration, and relevant experience • the PIHP policy and procedure re- supervision of staff. |
| <p>B.10.4.2. Nursing services/consultation must be available.</p> | | <p>The review team will review administrative and clinical record documentation to ensure that the program has the capacity to make nursing services or nursing consultation available.</p> |
| <p>B.10.4.3. The professional team may be assisted by trained paraprofessionals under appropriate supervision. The trained paraprofessionals must have at least one year of satisfactory experience providing services to persons with serious mental illness.</p> | | <p>The site review team will review the program's process for supervising paraprofessional staff, as well as review any policy and procedure that relates to supervision of paraprofessionals. Supervision may be reflected by counter signing progress notes, and/or demonstrated in paraprofessional staff member's performance evaluations.</p> |
| <p>B.10.5.1 <u>Presence in Plan</u>:</p> <p>Intensive crisis stabilization services treatment plan must be developed within 48 hours.</p> | <p>Intensive Crisis Stabilization Services may be provided initially to alleviate an immediate or serious psychiatric crisis. However, following the resolution of the immediate situation (and within no more than 48 hours) an intensive crisis stabilization services treatment plan must be developed.</p> | <p>The review team will look for evidence to support that the mobile crisis team provided services to stabilize the individual's crisis situation, i.e., referral notes, progress notes and admission notes.</p> <p>The record must reflect that the initial plan of service is completed within 48 hours.</p> |
| <p>B.10.5.2. Plan must contain clearly stated goals and measurable objectives, derived from the assessment</p> | | <p>The review team will review the individual plan of service to ensure that the plan identifies the services and</p> |

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| of immediate need, and stated in terms of specific observable changes in behavior skills, attitudes, or circumstances structured to resolve the crisis. | | <p>activities designed to resolve the crisis and attain the individual's goals. Goals and objectives should be derived from the statement of immediate need.</p> <p>For individuals who have mental illness and a co-occurring substance disorder the plan of service should address substance issues when they are a contributing factor in the crisis.</p> |
| B.10.5.3. Plans for follow-up services (including other mental health services where indicated) after the crisis has been resolved. The role of the case manager must be identified where applicable. | The plan of service should clearly identify follow-up services and outline ongoing sources of assistance and referrals to other providers as needed. It is important to ensure that the individual is followed-up appropriately in the community after discharge from Intensive Crisis Stabilization services. | <p>The review team will review the plan of service to ensure there is documentation of follow-up or after care services after discharge.</p> <p>If the individual was receiving case management services prior to receiving intensive crisis stabilization services, or a need for case management services is identified during delivery of intensive crisis stabilization services, then the role of the case manager must be identified in the individual plan of service.</p> |
| B.10.5.4. If the individual receiving intensive crisis stabilization services is receiving case management services the assigned case manager must be involved in the treatment and follow up services. | Early interventions by the case manager may assist the individual's recovery from the crisis and shorten the time intensive crisis stabilization services are needed. | The review team will look for evidence in the clinical records to support coordination and linking of the consumers to other programs and services. Supporting documentation may be found in case management progress notes. |
| B.10.5.5. For children's intensive crisis stabilization services the plan must address the child's needs in context with the family's needs; consider the child's educational needs; and be developed in context with the child's school district staff. | Developing a plan that addresses the family's needs and the educational needs of a child may help determine appropriate treatment interventions for the child and family. | The review team will examine the initial plan of service to ensure that it is family focused and that coordination occurs with other agencies such as the child's school. |
| B.11. CHILDREN'S WAIVER (Medicaid Provider Manual, Mental Health/Substance Abuse, Section 14 and Appendix) | <p>The CWP provides services that are enhancements or additions to regular Medicaid coverage to children up to age 18 who are enrolled in the CWP. This is a fee for service program.</p> <p>The purpose of this section of the review is to ensure the following: eligibility requirements, freedom of</p> | |

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| | choice provision, service providers' qualifications, administrative procedures and a safe and appropriate plan of service for individuals served by the Children's Waiver Program (CWP) | |
| <p>B.11.1.1 Eligibility</p> <p>The child must have a developmental disability as defined in Michigan State law, be less than eighteen years of age and in need of habilitation services.</p> <p>Medicaid Provider Manual, Section 14</p> | | <p>The site review team will verify that the initial eligibility requirements are met and there is a process for determining continual annual re-certification within 365 days of previous certification.</p> <p>The MDCH Children's Waiver Review Team initially determines clinical approval.</p> <p>To be eligible for the Children's Waiver program a child must have a developmental disability as defined by the Developmental Disabilities Assistance and Bill of Rights Act.</p> <p>The site review team will review clinical records to ensure that:</p> <ul style="list-style-type: none"> ▪ Assessments identify diagnosis, substantial functional limitations and habilitative needs. ▪ The plan of service identifies needed waiver services, including habilitative services. ▪ Progress notes indicate child has received at least one waiver service per month, which confirms that habilitative services are needed. |
| <p>B.11.1.2. The child's intellectual or functional limitations indicate that he/she would be eligible for health, habilitative and active treatment services provided at the ICF/MR level of care.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will confirm that the child is eligible for habilitative services (designed to assist individuals in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings) and active treatment (includes aggressive, consistent implementation of a program of specialized and generic training, treatment, health services and related services.</p> | <p>The site review team will confirm that the child is eligible for habilitative services (designed to assist individuals in acquiring, retaining and improving the self-help, socialization and adaptive skills necessary to reside successfully in home and community-based settings) and active treatment (includes aggressive, consistent implementation of a program of specialized and generic training, treatment, health services and related services.)</p> |

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| | Active treatment is directed toward the acquisition of the behaviors necessary for the beneficiary to function with as much self-determination and independence as possible, and the prevention or deceleration of regression or loss of current optimal functional status. | <p>Active treatment is directed toward the acquisition of the behaviors necessary for the beneficiary to function with as much self-determination and independence as possible, and the prevention or deceleration of regression or loss of current optimal functional status.</p> <p>The site review team will review clinical records to verify that:</p> <ul style="list-style-type: none"> • Assessments identify intellectual /functional limitations • the Annual Waiver Certification is current and signed by the CMHSP provider. The certificate must indicate that the child meets the criteria for admission to, and needs services as provided in, an ICF/MR. The signature of the Clinical Review Team Chairperson indicates receipt of the waiver certification and continued enrollment. <p>Clinical records review</p> <p>Policies and procedures</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> |
| <p>B.11.1.3. The child resides with his/her birth or legally adoptive parents or with a relative who has been named the legal guardian.</p> <p>Medicaid Provider Manual, Section 14</p> | The site review team will verify that the residency eligibility requirements are met and documented. | <p>Clinical record review</p> <p>Policies and procedures</p> |
| B.11.1.4. The child is at risk of being placed into an ICF/MR facility because of the intensity of the child's care and the lack of needed support, or the child currently resides in an ICF/MR facility, but with appropriate community support, could return | The site review team will confirm the child's risk of being placed into an ICF/MR/State hospital is clearly documented. | <p>Clinical records review</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> |

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| <p>home.</p> <p>Medicaid Provider Manual, Section 14</p> | | <p>Interview with staff/administration</p> <p>Policies and procedures</p> <p>Parent signed freedom of choice statement (on Waiver Certification form)</p> |
| <p>B.11.1.5. The child must meet, or be below, Medicaid income and asset limits when viewed as a family of one.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will validate the income and asset limits.</p> | <p>Clinical records review</p> <p>Policies and procedures</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> |
| <p>B.11.2.1. <u>Structure/Organization</u>:</p> <p>Waiver services are provided in the family home or community.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The CWP enables Medicaid to fund necessary home and community-based services for children with DD who reside with their birth or legally adoptive parent(s) or with a relative (legal guardian).</p> <p>The site review team will validate that services are provided in the family home or community.</p> | <p>Clinical records review</p> <p>Policies and procedures</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> |
| <p>B.11.2.2. Category of Care Decision Guide is used to determine the amount of publicly funded hourly care.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will validate that the category of Care Decision Guide was used to determine the amount of publicly funded hourly care.</p> | <p>Clinical records review</p> <p>Copy of decision guide contained in record</p> <p>Policies and procedures</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> |

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| | | Indicated on the Category of Care/Intensity of Care designated on the Waiver Certification and corresponding narrative. |
| <p>B.11.2.3. The CMHSP assesses potential waiver candidates, completes the Children's Waiver Program pre-screen, and forwards the materials to DCH.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will review Children's Waiver Program pre-screens.</p> | <p>Clinical records review</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Policies and procedures</p> |
| <p>B.11.2.4. The CMHSP is responsible for coordination of the child's waiver services.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will review the CMHSP's coordination activities inclusive of the core elements of case management:</p> <ul style="list-style-type: none"> • Planning and/or facilitating planning using person-centered principles • Linking to, coordinating with, follow-up of, advocacy with, and/or monitoring of DD specialty services, behavioral health services and other community services/supports. • Brokering of providers of services/supports • Assistance with access to entitlements, and/or legal representation. • Coordination with the Qualified Health Plan or other health care provider(s). <p>Individuals performing case management functions must meet the requirements for a Qualified Mental Retardation Professional (QMRP) and have:</p> <ul style="list-style-type: none"> • A minimum of a bachelor's degree in a | <p>Clinical records review</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Copy of MDCH letter</p> <p>Policies and procedures</p> <p>Annual medical examination completed (DHS 49-a) a copy in record and forwarded to MDCH.</p> |

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| | <p>human services field.</p> <ul style="list-style-type: none"> One year of experience working with people with developmental disabilities. | |
| <p>B.11.2.5. The CMHSP approves and issues prior authorization letters for waiver services and private duty nursing authorized to all service providers.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will validate that authorization for services are consistently present.</p> | <p>Clinical records review</p> <ul style="list-style-type: none"> CMHSP Private duty nursing <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Contracts reviewed</p> <p>Policies and procedures</p> |
| <p>B.11.2.6. The CMHSP submits prior authorization requests for all durable equipment and home modifications to DCH for approval.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will confirm that authorization for equipment and home modifications were submitted to MDCH. The item must be a direct medical or remedial benefit to the child. The CWP should be a funding source of last resort.</p> <p>The plan must include documentation that, as a result of the treatment and its associated equipment or adaptation, institutionalization of the child will be prevented.</p> | <p>Clinical records review</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Policies and procedures</p> <p>Prescription</p> <p>Documented process for review and approval of locally authorized services, durable medical equipment and room air conditioners.</p> <p>Physician prescriptions in clinical record:</p> |

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| | | <ul style="list-style-type: none"> • Equipment, supplies, home modifications • OT and PT services (includes diagnosis, date of scrip, specific service or item provided, expected start date of the order, amount and length of time the service is needed). |
| <p>B.11.3. Documentation exists that service providers are employees of CMHSP; on contract with the CMHSP; hired through the Choice Waiver system; or are Medicaid enrolled private duty nursing providers.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will evaluate that services provided were:</p> <ul style="list-style-type: none"> • Employees of CMHSP or, • On contract with the CMHSP or, • Hired through the Choice Waiver system or • Are Medicaid enrolled private duty nursing providers | <p>Clinical records review</p> <p>MDCH home site visit by an RN</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Personnel records</p> <p>Staffing lists</p> <p>Contracts</p> <p>Documentation that clinical service providers have been credentialed by CMHSP/Provider organization.</p> <p>Policies and procedures</p> <p>Has a formal process to facilitate Choice Voucher option</p> <p>Prior authorization documented for services</p> |
| <p>B.11.3.1 <u>Staffing</u>:</p> <p>Hourly care is provided under the supervision of professional staff licensed, certified, or registered by state or national organization.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will confirm that hourly care is provided under the supervision of professional staff licensed, certified, or registered by state or national organization.</p> <p>Individuals who provide respite and CLS services must:</p> | <p>Clinical records review</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>MDCH home site visit by an RN</p> <p>Personnel records</p> |

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| | <ul style="list-style-type: none"> • Be at least 18 years of age • Be able to practice prevention techniques to reduce transmission of any communicable diseases. • Have documented training and skill in implementing the plan and report on activities performed. • Be in good standing with the law • Be able to perform basic first aid and emergency procedures. • Be trained in recipient rights. • Be meet employment criteria. Reference B.11.3 | <p>Performance evaluations</p> <p>Job description</p> <p>Documentation of supervision</p> <p>Training records</p> <p>Case manager meets QMRP requirements.</p> <p>Documentation that CLS and respite staff received education appropriate to child's needs, as indicated in the IPOS.</p> <p>Evidence of supervision as identified in the IPOS/assessments to assure child's health and safety.</p> <p>Documentation that staff meets child's needs (amount, scope and duration) as identified in the IPOS.</p> <p>Policies and procedures</p> |
| <p>B.11.3.2. Hourly care staff must be trained in the following: plan of service implementation, first aid, infection control, emergency procedures, and recipient rights.</p> <p>Medicaid Provider Manual, Section 14</p> <p>Medicaid Managed Specialty Supports and Services Contract, Section 6.2</p> | <p>The site review team will monitor training records to validate that staff are trained and competent to deliver services to beneficiaries.</p> | <p>Clinical records review</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Personnel records</p> <p>Performance evaluations</p> <p>Job description</p> <p>Documentation of supervision</p> <p>Training records</p> <p>TB screening and result</p> |

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| | | Policies and procedures |
| <p>B.11.3.3. Parents may not act as paid staff for their child.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will review information to ensure that parents were not paid staff for their child.</p> | <p>Clinical records review</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Personnel records</p> <p>Performance evaluations</p> <p>Job description</p> <p>Policies and procedures</p> |
| <p>B.11.4.1 <u>Presence in Plan</u>:</p> <p>All services and supports are included in the Individual Plan of Service.</p> <p>Medicaid Provider Manual, Section 14</p> <p>Person-centered Best Practice Guideline</p> | <p>The team will validate that all services and supports are present in the Individual Plan of Service.</p> | <p>Clinical records review</p> <ul style="list-style-type: none"> • Copy of IPOS in the home and includes parents signature. • Health and safety issues identified in IPOS • Parent offered opportunity to express level of satisfaction with CWP • At least one CWP service is provided to each waiver consumer per month. • Current assessments • Evidence that community resources/natural supports were exhausted. • IPOS was reviewed/revised at least annually. <p>MDCH home site visit by an RN</p> |

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| | | <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Policies and procedures</p> <p>Staff training of how to manage health and safety issue documented in personnel files.</p> <p>Provided under the supervision of a physician.</p> <p>CLS costs are identified and is in the record</p> <p>Evidence of denial of benefit from private insurance, Medicaid, ...</p> <p>Copy of Budget in clinical record</p> |
| <p>B.11.4.2. All necessary assessments are current (within 12 months or within 6 months of annual waiver certification).</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will validate that all necessary assessments are current.</p> | <p>Clinical records review</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Policies and procedures</p> |
| <p>B.11.4.3. Evidence supports that planning took place with family, and that needs, desires and goals were discussed.</p> <p>Medicaid Provider Manual, Section 14</p> <p>Person-centered Best Practice Guideline</p> | <p>The site review team will confirm that evidence to support that planning took place with family, and that needs, desires and goals were discussed.</p> | <p>Clinical records review:</p> <ul style="list-style-type: none"> • CLS • Respite • Child Therapeutic Foster Care • Overnight camp • Transitional Services |

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| | | <ul style="list-style-type: none"> • Wraparound <p>Consumer/family interview</p> <p>Interview with staff/administration</p> <p>Family training:</p> <ul style="list-style-type: none"> • Regarding treatment and interventions identified in the IPOS. • To improve/develop skills in dealing with special needs to help child remain in the home. • Provided face to face • Respite care provided as identified in the IPOS • Recipient Rights complaint resolution, State Medicaid fair hearing process. <p>Policies and procedures</p> |
| <p>B.11.4.4. Evidence of active treatment must be present in the individual plan of service.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will validate that evidence of active treatment is present in the individual plan of service.</p> | <p>Clinical records review</p> <ul style="list-style-type: none"> • IPOS must contain evidence of aggressive, ongoing, outcome-based program. <p>Policies and procedures</p> <p>Consumer/family interview</p> <p>Interview with staff/administration</p> |
| <p>B.11.4.5. The individual plan of service must be reviewed, approved, and signed by a physician.</p> <p>Medicaid Provider Manual, Section 14</p> | <p>The site review team will validate that the individual plan of service was reviewed, approved, and signed by a physician.</p> | <p>Clinical records review</p> <p>Policies and procedures</p> |

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| <p>B.12. HABILITATION SUPPORTS WAIVER</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, Section 15)</p> | <p>The purpose of this section is to ensure that the PIHP is complying with Habilitation Supports Waiver (HSW) eligibility requirements, freedom of choice provision, service provider qualifications, administrative procedures and developing plans of service that promotes independence, community integration, and productivity for individuals served through the HSW.</p> | |
| <p>B.12.1.1. Persons must have a developmental disability as defined by the Developmental Disabilities Assistance and Bill of Rights Act.</p> <p>Medicaid Provider Manual, Section 15</p> <p>Michigan Mental Health Code</p> | <p>HSW beneficiaries must be enrolled through the MDCH enrollment process completed by the PIHP. The process must include annual verification that the beneficiary:</p> <ul style="list-style-type: none"> • Has a developmental disability • Is Medicaid eligible • Resides in a community setting • Would require ICF/MR services if not for HSW services. • Chose to participate in the HSW instead of receiving ICF/MR services | <p>The site review team will conduct reviews of the individual's clinical record to ensure that individuals have a qualifying diagnosis.</p> <p>The site review team will review PIHP administrative policies and procedures for HSW enrollment to ensure that enrollment processes comply with requirements.</p> |
| <p>B.12.1.2. Persons must be assessed to require the level of service or supports provided in an ICF/MR as evidenced by a QMRP's certification.</p> <p>Medicaid Provider Manual, Section 15</p> <p>(10/06,MPM, MH/SA, Pg. 6)</p> | | <p>Clinical record documentation should support that individuals meet the eligibility requirements to receive habilitation waiver services.</p> <p>The site review team will monitor documentation to ensure that:</p> <ul style="list-style-type: none"> • The clinical record supports that the person required the level of service or supports provided in an Intermediate Care Facilities for persons with Mental Retardation (ICF/MR). |

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| | | <ul style="list-style-type: none"> • QMRP's certification is present in the clinical record. |
| <p>B.12.1.3. Persons must reside in a community-based setting (licensed or unlicensed settings, but not nursing homes, jails, hospitals, or ICF/MR settings).</p> <p>Medicaid Provider Manual, Section 15</p> <p>(10/06, MPM, MH/SA, Pg.9, Pg.76)</p> | | <p>The site review team will monitor to ensure that the individual meets the residency requirements. The review team will be reviewing the clinical record for current information on where the individual lives.</p> |
| <p>B.12.1.4. Persons must be certified as current enrollees and be re-certified annually. A copy of the certification form must be in the individual's file.</p> <p>Medicaid Provider Manual, Section 15</p> <p>(10/06, MPM, MH/SA, Pg.76)</p> | | <p>The site review team will confirm that individuals are re-certified annually. The site review team will look for a current certification (within one year) and that the certification is signed by a QMRP. Section II of the certification must be signed by a QMRP.</p> |
| <p>B.12.2.1. The PIHP maintains documentation that the total annual Medicaid expenditures for supports and services do not exceed the total amount that would have been spent each fiscal year for the care of the consumers in an ICF/MR setting.</p> <p>Medicaid Provider Manual, Section 15</p> <p>Mandated per HSW Michigan 1915 Wavier (State contract with Federal Gov).</p> | | <p>The site review team will examine PIHP documents that support that supports and services do not exceed the total amount that would have been spent each fiscal year for the care of the consumers in an ICF/MR setting.</p> <p>PIHP should maintain a report that:</p> <ul style="list-style-type: none"> • Lists expenditures by individual (uses unique ID number). • Identifies individuals' waiver site • Demonstrates that the cost of room and board is excluded from the PIHP's HSW utilization/cost accounts. • Aggregate of expenditures |

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| | | <ul style="list-style-type: none"> • Averages out expenditures • Draws a comparison to the cost of ICF/MR setting versus CMHSP. <p>These reports should be presented to the site review team at the onset of the on-site review at the PIHP.</p> |
| <p>B.12.2.2. The PIHP maintains documentation of current information showing all waiver sites. Licensed settings must be authorized to provide services to individuals with a developmental disability and certified (AFC sites only) if the setting is providing specialized mental health services to persons with a developmental disability.</p> <p>Medicaid Provider Manual, Section 15</p> <p>Mandated per HSW Michigan 1915 Wavier (State contract with Federal Gov.)</p> | | <p>The site review team will request a PIHP report that identifies current information showing all waiver sites.</p> <p>The review team will look at the licensure and certification information for any specialized residential settings serving individuals enrolled in the habilitation supports waiver to ensure that the home has been certified by DHS to provide specialized services to individuals with a developmental disability.</p> |
| <p>B.12.3. QMRP Oversight</p> <p>All services, including supports coordination, are provided under the supervision of a physician or other QMRP.</p> <p>Medicaid Provider Manual, Section 15</p> <p>(10/06, MPM, MH/SA, Pg. 8, Pg.91)</p> | | <p>The site review team will confirm that care is provided under the supervision of a physician or other qualified mental retardation professional.</p> <p>Supporting evidence may be found in:</p> <ul style="list-style-type: none"> • Clinical records • Personnel records • Performance evaluations • Documentation of supervision • Training records • Documentation that CLS and respite staff |

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| | | <p>received education appropriate to child's needs, as indicated in the IPOS.</p> <ul style="list-style-type: none"> • Evidence of supervision as identified in the IPOS/assessments to assure child's health and safety. • Documentation that staff meets child's needs (amount, scope and duration) as identified in the IPOS. <p>Policies and procedures</p> |
| <p>B.12.4. <u>Presence in the Plan:</u></p> <p>Services and supports provided were specified in the individual plan of service and identified in terms of amount, scope and duration.</p> <p>Medicaid Provider Manual, Section 15</p> <p>(10/06, MPM, MHSA, Pg. 8, Pg.76).</p> | | <p>The IPOS will be reviewed by the team to ensure that services and supports provided were specified in the individual plan of service inclusive of the amount, scope and duration.</p> <p>Sources of information include:</p> <ul style="list-style-type: none"> • Clinical records review • Consumer/family interview • Interview with staff/administration <p>The plan of service should address the specific goals and objectives the individual is working on, regardless of the setting. For example, the individual plan of service should not simply identify that the individual is attending a day program, but must identify the specific goals, and objectives that will be worked on in that setting.</p> <p>When an individual has needs that present themselves across service settings, the plan should be consistently implemented in each setting. Examples include behavioral treatment plans, communication, and activities of daily living.</p> |

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| <p>B.12.4.1. Documentation that HSW support and services provided are necessary to prevent ICF/MR level of care services.</p> <p>Medicaid Provider Manual, Section 15</p> | | <p>The expectation is that services and supports are sufficient in amount scope and duration to reasonably achieve the desired outcomes. For example, an individual's desire to increase their involvement in the community would not be satisfied by getting out in the community one time a month.</p> <p>The plan of service should identify the frequency of services needed to achieve the desired results. Keep in mind that the services for individuals who are enrolled in the habilitation supports waiver need to be of a sufficient amount, scope and duration, that if not provided would otherwise require a level of care provided in an ICF/MR setting.</p> <p>The site review team will seek evidence to support that the HSW support and services provided were necessary to prevent institutionalization. Acceptable documentation will demonstrate that the services in the plan are necessary to prevent institutionalization.</p> <p>The review team will also review the clinical record to ensure that each of the HSW services identified in the Medicaid Provider Manual are provided as needed, with the level and intensity of services of a sufficient level to prevent ICF/MR level of care services. These services include chore services, community living supports, enhanced medical equipment, enhanced pharmacy, environmental modifications, family training, out-of-home non-vocational habilitation, personal emergency response systems, pre-vocational services, private duty nursing, respite care, support coordination, and supported employment.</p> |
| <p>B.12.4.2. Individual had the opportunity to choose between HSW supports and services, and institutional services.</p> | | <p>The review team members will examine documentation to support that individual's had an opportunity to choose between HSW supports and services and institutional services.</p> |

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| MDCH Contract Medicaid Provider Manual, Section 15 | | <p>Sources of information include:</p> <ul style="list-style-type: none"> • Clinical records review (Section III of the Habilitation Supports Waiver certification form) • Consumer/family interview |
| <p>B.12.4.3. Individual was informed of their right to request alternative providers or service sites.</p> MDCH Contract Medicaid Provider Manual, Section 15 | | <p>The individual must be provided with information regarding their right to request alternative providers or service sites.</p> <p>The review team will examine information provided to ensure that this requirement is met. Supporting documentation could be found in clinical records, administrative policies and procedures, as well as consumer/family and administrative interviews.</p> |
| <p>B.12.4.4. Documentation supports that services are not duplicative of other federally funded services, such as those available under IDEA or the Rehabilitation Act.</p> Medicaid Provider Manual, Section 15 | | <p>Site review team members will request documentation that supports that services are not duplicative of other federally funded services, such as those available through the Rehabilitation Act of 1973, as amended, or under the Individuals with Disabilities Education Act (IDEA) or the Michigan Rehabilitation Services.</p> <p>Sources of information would include: clinical records, administrative policies and procedures, consumer/family interviews, and interviews with staff/administration.</p> |
| <p>B.13. ADDITIONAL MENTAL HEALTH SERVICES [(B)(3)S]</p> <p>(Medicaid Provider Manual, Mental Health/Substance Abuse, Section 17)</p> | | |
| <p>B.13.1. <u>Presence in the Plan</u>:</p> <p>Services to be provided are documented in the IPOS.</p> | <p>The (b)(3) mental health supports and services are designed as a way to fund additional medically necessary supports and services (beyond those available as part of the State Plan).</p> | <p>If (b)(3) services are being provided, the site review team will review the clinical record to determine if (b)(3) services and supports are identified in the individual's plan of service.</p> |

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| <p>B.13.1.2. <u>Goals</u>:</p> <ul style="list-style-type: none"> Community Inclusion and participation Independence Productivity | <p>Goals will vary according to the individual's needs and desires. However, goals that are inconsistent with least restrictive environment and individual choice and control can not be supported by (b)(3) services unless there is documentation that health and safety would otherwise be jeopardized.</p> <p>The services in the plan, whether (b)(3) services alone or a combination of State plan or Habilitation Supports waiver services, must reasonably be expected to achieve the goals and intended outcome identified for the individual receiving services.</p> | <p>The team will review the individual plan of service to ensure that the plan of service includes goals in one or more of the following areas: community inclusion and participation, independence, or productivity.</p> <ul style="list-style-type: none"> Independence (how the individual defines the extent of such freedom for him/herself during person-centered planning and or/ family centered practice). Beneficiary's productivity by being engaged in activities that result in or lead to maintenance of increased self-sufficiency. Community inclusion and participation (the use of community services and participation in community activities in the same manner as the typical citizen). |
| <p>B.13.2.1. <u>Supports and Services</u></p> <ul style="list-style-type: none"> Assistive Technology | <p>Assistive technology is an item or set of items that enable the individual to increase his ability to perform activities of daily living with a greater degree of independence than without them: to perceive, control or communicate with the environment in which he/she lives. These are items that are not available through other Medicaid coverage or through other insurance. Items identified must be specified in the plan of service and must be ordered by a physician on a prescription or certificate of medical necessity as defined in the General Information Section of the Medicaid Provider Manual.</p> <p>Covered assistive technology items must meet applicable standards of manufacture, design and installation.</p> <p>Reference, Medicaid Manual provider 17.3.</p> | <p>The review team will look for documentation that supports that:</p> <ul style="list-style-type: none"> The individual plan of service identifies items necessary for the individual to increase their ability to perform his/her activities of daily living functioning. A physician prescription or physician-completed certificate of medical necessity is present. (Order valid for one year.) |

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| | Assistive technology | |
| B.13.2.2. Community Living Supports | <p>Community Living Supports are used to increase or maintain personal self-sufficiency, facilitating an individual's achievement of his/her goals of community inclusion and participation, independence or productivity. The support may be provided in the participant's residence or in the community settings (including, but not limited to libraries, city pool, camps, etc.)</p> <p>Reference to Medicaid Provider Manual: 17.3, B Community Living Support</p> | <p>The reviewers will look for the following documentation:</p> <ul style="list-style-type: none"> • The presence of individual plan of service goals and objectives that address the individual needs for community inclusion and participation with a desired outcome. • The amount, scope and duration these services will be provided. • Progress notes that demonstrate appropriate implementation of the plan. |
| B.13.2.3. Enhanced Pharmacy | <p>Enhanced pharmacy items are physician-ordered, non-prescription "medicine chest" items as specified in the individual plan of service.</p> <p>Reference to 17.3.C. Medicaid Provider Manual on Enhanced Pharmacy.</p> | <p>The reviewers will look for documentation that demonstrates:</p> <ul style="list-style-type: none"> • The item has been ordered by a physician • The item is not available through Medicaid or other insurances. |
| B.13.2.4. Environmental Modifications | <p>Environmental modifications are physical adaptation to the beneficiary's own home or apartment and/or workplace. There must be documented evidence that the modification is the most cost-effective alternative to meet the beneficiary's need/goals based on the result of a review of all options, including a change in the use of rooms within the home or alternative housing or in the case of vehicle modification, alternative transportation.</p> <p>All modifications must be prescribed by the physician. Prior to the environmental modification being authorized, the PIHP may require that the beneficiary apply to all applicable funding sources (e.g., housing commission grants, MSHDA, and community development block grants) for assistance.</p> | <p>The reviewers will look for documentation that supports:</p> <ul style="list-style-type: none"> • The presence of a physician prescription for the environmental modification. • The PIHP has made efforts to ensure that other funding mechanisms were pursued prior to using (b)(3) services as a funding source to make the environmental modification and that the environmental modification is the most cost effective way of meeting the individual's needs. |

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| | <p>It is expected that the PIHP case manager/supports coordinator will assist the beneficiary in his pursuit of these resources. Acceptance and denials by these funding sources must be documented in the beneficiary's records. Medicaid is a funding source of last resort.</p> <p>Reference to Medicaid Provider Manual 17.3.D Environmental modifications.</p> | |
| B.13.2.5. Crisis Observation Care | <p>This program must be enrolled with MDCH.</p> <p>Crisis Observation Care must be provided in settings that are secure, protected, medically staffed, and psychiatrically supervised. Crisis Observation Care cannot be provided in an emergency room, inpatient medical floor, or inpatient medical observation bed.</p> <p>Crisis Observation Care services are less than 24 hours in duration, involving rapid diagnosis, treatment and stabilization of an individual with psychiatric or substance abuse emergency, and that results in sufficient amelioration of the situation to allow the person to be discharged and transferred to an outpatient care service.</p> <p>Reference the Medicaid Provider Manual 17.3.E, Crisis Observation care.</p> | <p>The reviewer will evaluate whether:</p> <ul style="list-style-type: none"> • The program was enrolled with MDCH • Services are provided in appropriate settings • The clinical record demonstrates that the individual is under the care of a psychiatrist during the period of observation |
| B.13.2.6. Family Support and Training | <p>Family Support and Training services are family-focused services provided to family (natural or adoptive parents, spouse, children, siblings, relatives, foster family in-laws and other unpaid care givers) of persons with serious mental illness, serious emotional disturbances or developmental disability for the purpose of assisting the family in relating to and caring for and /or living with disabilities. The services target the family members who are caring and/or living with an individual receiving mental</p> | <p>The review team will review the clinical record to ensure that:</p> <ul style="list-style-type: none"> • The individual plan of service identifies the Family Support and Training necessary to assist the individual in achieving his/her goals • The individual plan of service identifies the Training and counseling goals, content, frequency and duration of the training. |

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| | <p>health services. The service is to be used in cases where the beneficiary is hindered or at risk of being able to achieve goals of: performing activities of daily living; perceiving, controlling or communicating with the environment in which he lives; or improving his inclusion and participation in the community or productive activity or opportunities for independent living.</p> <p>Reference to Medicaid Provider Manual 17.3.F Family support and training</p> | <ul style="list-style-type: none"> • Clinical progress notes and/or status reviews support provision of Family Support and Training as specified in the individual plan of service. |
| B.13.2.7. Housing Assistance | <p>Housing assistance is assistance with short-term interim, or one-time-only expenses for beneficiaries transitioning from restrictive settings into more independent, integrated living arrangements while in the process of securing other benefits (e.g., SSI) or public programs (e.g., governmental rental assistance and /or home ownership programs) that will become available to assume these obligations and provide needed assistance.</p> <p>Reference Medicaid Provider Manual Section 17.3.G. Housing Assistance.</p> | <p>The reviewers will evaluate the clinical record for the presence of the following documentation:</p> <ul style="list-style-type: none"> • Individual plan of service that contains a goal for independent living, and confirmation that the individual either lives in a home /apartment that he/she owns, rents or leases; or is in the process of transitioning to such a setting • Individual plan of service documents that the beneficiary-signed lease, rental agreement, or deed demonstrates the individual's control of the living arrangement • Any documentation that demonstrates efforts under way to secure other benefits such as SSI or Public program (governmental rental assistance. Community housing initiative and /or home ownership programs) so when these become available they will assume these obligations and provide the needed assistance. |
| B.13.2.8. Peer Delivered Or Operated | <p>Peer-delivered or peer-operated support services are programs that provide individuals with opportunities to learn and share coping skills and strategies, move into more active assistance and away from passive patient roles and identities and to build and/or</p> | <p>The site reviewer staff will conduct site visits to the programs and evaluate if the programs are operated in compliance with requirements. Reference B.2. of this guideline for more detail on Peer-Delivered or Operated</p> |

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| | <p>enhance self-esteem and self-confidence.</p> <p>Reference Medicaid Provider Manual Section 17.3.H. Peer-Delivered or Operated Support Services.</p> | <p>Drop-In Centers.</p> |
| B.13.2.9. Peer Specialist Services | <p>The peer specialist services provide individual with opportunities to support, mentor and assist beneficiaries to achieve community inclusion, participation, independence, recovery, resiliency, and /or productivity. Peers are individuals who have a unique background and skill from their experience in utilizing services and supports to achieve their personal goals of community membership, independence and productivity. Peers have special ability to gain trust and respect of other beneficiaries based on shared experience and perspective with disabilities, and with planning and negotiating human services systems.</p> <p>Reference Medicaid Provider Manual 17.3.H for Peer Specialist Services.</p> | <p>The review team will look for evidence that the PIHP has the capacity to provide peer specialist services throughout the PIHP's catchment area. Information on the number of peer-specialists, their names, the capacity in which they are employed, and their roles within the organization will be requested prior to the review.</p> <p>The PIHP's capacity will also be evaluated by reviewing encounter data submitted by the PIHP, as well as discussing with the AFP panel, how peer specialist services are being implemented across the PIHP.</p> <p>MDCH is moving towards mandating that all peer specialists be certified by Appalachian Group in conjunction with MDCH and anticipates that certification will be required within the next two years.</p> <p>The review team will look for evidence that the PIHP has effective methods for informing individuals about the availability of peer specialist services. During interviews, the review team will ask individuals if they were informed about peer specialist services and if they were made available to the individual if desired.</p> |
| B.13.2.10. Drop-in Centers | <p>Peer-run drop-in centers provide an informal, supportive environment to assist beneficiaries with mental illness in the recovery process. If the beneficiary chooses to participate in Peer-run Drop-in Center services, such services may be included in the individual plan of service if medically necessary for the beneficiary. Peer-Run Drop-In centers provide opportunities to learn and share coping skills and strategies, to move into more active assistance</p> | <p>The review team will look for the following documentation:</p> <ul style="list-style-type: none"> • Letter of approval from MDCH to operate the Drop-In Center. The site review team will review the approval status of the program prior to the site visit • For those beneficiaries who do have drop-in |

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| | <p>and away from passive patient roles and identities, and to build and/or enhance self-esteem and self-confidence.</p> <p>Under no circumstances may the peer-run Drop-In Centers be used as respite for caregivers (paid or non-paid) or residential providers of individuals.</p> <p>The PIHP must seek approval from MDCH prior to establishing new Drop-In programs.</p> <p>Reference Medicaid Provider Manual, 17.3.H.2. Drop-In Centers</p> | <p>center services specified in their individual plan of service, there must be documentation that it is medically necessary</p> <ul style="list-style-type: none"> • The plan of service must identify how the program supports individual goals. • The amount scope and duration of the services to be delivered must be identified in the individual plan of service. |
| B.13.2.11. Prevention - Direct Service Models | <p>Prevention-direct service models are programs using individual, family and group interventions designed to reduce the incidence of behavioral, emotional or cognitive dysfunction, thus reducing the need for individuals to seek treatment through the public mental health system.</p> <p>Reference Medicaid Provider Manual, 17.3.1. Prevention-Direct Service Models.</p> | <p>The reviewer will look for documentation which supports that the PIHP has one or more direct service models in place. Sources of information could include:</p> <ul style="list-style-type: none"> • Administrative materials which demonstrate the availability of one or more of the prevention-direct service models, i.e., customer service brochures, utilization information, etc. • Individual plans of service that identify the provision of one or more of the prevention-direct service models. |
| B.13.2.12. Respite Care Services | <p>Respite Care Services are services that are provided to assist in maintaining a goal of living in a natural community home by temporarily relieving the unpaid caregiver. PIHP's may not require active clinical treatment as a prerequisite for receiving respite care. These services do not supplant or substitute for community living support or other services of paid support/training staff.</p> <p>Reference Medicaid Provider Manual Section 17.3.J. Respite Care Services.</p> | <p>The site review team will review clinical files and individual plans of service for documentation which supports that:</p> <ul style="list-style-type: none"> • decisions and amounts of respite are decided during person-centered planning • respite services do not supplant community living supports or other services • respite services are provided in appropriate settings (the individual's home or place of |

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| | | residence, a licensed family foster care home, facility approved by the State, home of a friend or relative, licensed camp, or in the community with a trained respite worker. |
| B.13.2.13. Skill Building Assistance | <p>Skill building assistance consists of activities that assist a beneficiary to increase his economic self-sufficiency and/or to engage in meaningful activities such as school, work and/or volunteering. The services provide knowledge and specialized skill development and/or support. Skill building assistance may be provided in the beneficiary's residence or in the community.</p> <p>Reference: Medicaid Provider Manual, 17.3.K Skill Building Assistance.</p> | <p>The reviewers will look for documentation that the beneficiary is not currently eligible for sheltered workshop services provided by Michigan Rehabilitation Services (MRS). In addition, the site review team will review the individual plan of service and other documentation to ensure that the provision of skill-building assistance is appropriately addressed.</p> |
| B.13.2.14. Support and Service Coordination | <p>Functions performed by a supports coordinator, coordinator assistant, case manager assistant, supports and services broker, or otherwise designated representative of the PIHP that include assessing the need for support and service coordination.</p> <p>Reference Medicaid Provider Manual, 17.3.L. Support and Service Coordination.</p> | <p>The reviewers will look for the following documentation:</p> <ul style="list-style-type: none"> • The amount, scope and duration of support and service coordination is clearly identified in the individual plan of service. • If a supports coordinator assistant or case management assistant is used, documentation must reflect appropriate supervision by the qualified supports coordinator or qualified case manager respectively. Supporting documentation could include: job descriptions, performance appraisals, supervisory notes, and co-signing of case record documentation. • If an individual has both a supports coordinator, assistant case manager, or coordinator assistant, and a services and supports broker, the individual plan of service must clearly identify the staff who is responsible for each function. |
| B.13.2.15. Supported /Integrated Employment | Provide job development, initial and ongoing support | If an individual is receiving supported/integrated |

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| Services | <p>services to assist beneficiaries to obtain and maintain paid employment that would otherwise be unachievable without such supports. Supports services are provided continuously as needed throughout the period of employment. Capacity to intervene to provide assistance to the individual and/or employer in episodic occurrences of need is included in this service. Supported/integrated employment must be provided in integrated work setting where the beneficiary works alongside people who do not have disabilities.</p> <p>Reference Medicaid Provider Manual, 17.3.M. Supported /Integrated Employment Services.</p> | <p>employment services, the reviewers will review the clinical record, and engage in interviews with staff members to evaluate whether the individual plan of service identifies the amount, cope, and duration of the supported/ integrated employment services.</p> |
| B.13.2.16. Wraparound Services For Children And Adolescents | <p>Wraparound Services for children and adolescents is a highly individualized planning process performed by specialized case managers who coordinate the planning for and delivery of wraparound services and incidental non-staff items that are medically necessary for the child beneficiary. The planning process identifies strengths, needs and strategies and outcomes.</p> <p>Reference Medicaid Provider Manual 17.3.N. Wraparound Services for Children and Adolescents.</p> | <p>The site review team will review the beneficiary's individual plan of service and the case manager's progress notes to evaluate whether:</p> <ul style="list-style-type: none"> • The planning process identifies strengths, needs, strategies (staffed services and non-staff items) and outcomes • children served in wraparound meet criteria for receiving wrap-around services (two or more of the following: involved in multiple systems, at risk of out of home placement or in out of home placement, served through other mental health services with minimal improvement, risk factors exceed capacity for traditional community-based options, numerous providers are serving multiple children in a family and the outcomes are not being met) |
| B.13.2.17. Fiscal Intermediary Services | <p>Fiscal Intermediary Services is defined as services that assist the adult beneficiary, or a representative identified in the beneficiary's individual plan of services, to meet the beneficiary's goals of community participation and integration,</p> | <p>The reviewers will look at the individual plan of service for the role of the fiscal intermediary in providing support to beneficiary as well as ensure that fiscal intermediary services are not performed by providers of other covered services to the beneficiary, or by the</p> |

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| | <p>independence or productivity while controlling his individual budget and choosing staff who will provide the services and support identified in the IPOS and authorized by the PIHP. The intermediary helps the beneficiary manage and distribute funds contained in the individual budget.</p> <p>Reference Medicaid Provider Manual 17.3.O. Fiscal Intermediary Services.</p> | <p>beneficiary's family members or guardians.</p> |
| <p>B.13.3.1. Sub-Acute Detoxification</p> | <p>The PIHP may provide the services only when each of the following is true:</p> <ul style="list-style-type: none"> • Services meet medical necessity criteria for the beneficiary (Refer to MDCH/PIHP contract, attachment P.3.2.1, Medical Necessity criteria); • Services are based on individualized determination of need; • Services are cost effective; • Services do not preclude the provision of a necessary state plan service. • Services meet access standards contained in the Substance Abuse Service Section, Covered Services Subsection, including a level of care (LOC) determination based on an evaluation of the six assessment dimensions of the current ASAM Patient Placement Criteria. <p>Reference, Medicaid Provider Manual, Section 18 Additional Substance Abuse Services (B3s) Sub-acute Detoxification services is medically supervised care for the purpose of managing the effects of withdrawal from alcohol and /or other drugs as part</p> | <p>If Sub-acute detoxification is provided to an individual, the clinical record must contain documentation that the admission is likely to directly assist the individual in the adoption and pursuit of a plan for further appropriate treatment and recovery.</p> |

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| | <p>of a planned sequence of addiction treatment. This service must be staffed 24-hours-per day, seven days a week by a licensed physician or by the designated representative of a licensed physician. The program must be supervised by a licensed physician.</p> <p>The service is limited to stabilization of the medical effects of the withdrawal, and referral to necessary ongoing treatment and/or support services. This service, when clinically indicated, is an alternative to acute medical care provided by licensed health care professionals in a hospital setting.</p> <p>Reference Medicaid Provider Manual 18.1 Sub-acute Detoxification.</p> | |
| B.13.3.2. Residential Treatment | <p>The PIHP may provide the services only when each of the following is true:</p> <ul style="list-style-type: none"> • Services meet medical necessity criteria for the beneficiary (Refer to MDCH/PIHP contract, attachment P.3.2.1, Medical Necessity criteria); • Services are based on individualized determination of need; • Services are cost effective; • Services do not preclude the provision of a necessary state plan service. • Services meet access standards contained in the Substance Abuse Service Section, Covered Services Subsection, including a level of care (LOC) determination based on an evaluation of the six assessment dimensions of the current ASAM Patient | <p>Clinical record documentation should support that the effects of the individual's substance use disorder are so significant, and the resulting impairment so great, that outpatient and intensive outpatient treatments have not been effective or cannot be safely provided and that the individual is willing to participate in the treatment.</p> |

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| | <p style="text-align: center;">Placement Criteria.</p> <p>Reference, Medicaid Provider Manual, Section 18 Additional Substance Abuse Services (B3s) Residential treatment is defined as intensive therapeutic service which includes overnight stay and planned therapeutic, rehabilitative or didactic counseling to address cognitive and behavioral impairments for the purpose of enabling the beneficiary to participate and benefit from less intensive treatment.</p> <p>Reference Medicaid Provider Manual Section 18.2 Residential Treatment.</p> | |
| <p>B.14. JAIL DIVERSION</p> <p>Adult Jail Diversion Policy Practice Guideline of February 2005 - Contract Attachment P.6.8.4.1.</p> <p>R 330.2810</p> <p>Michigan Mental Health Code, 1995, Act 290</p> | | |
| <p>B.14. The PIHP is responsible for ensuring that each CMHSP within its provider network:</p> | | <p>The site review team will examine the agency's process and success in diverting persons with serious mental illness, serious emotional disturbance, or developmental disability who have committed misdemeanors and non-violent felonies to services as an alternative to being charged and incarcerated in a county or municipal jail.</p> |
| <p>B.14.1. has an interagency agreement that describes the specific pathways of the pre-booking and post-booking jail diversion program with each law enforcement entity on their service area.</p> | | <p>The site review team will examine the interagency agreement to ensure that it identifies that individuals with mental health needs may be diverted from the criminal justice system at any point. At a minimum the agreement must include:</p> |

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| AFP Section 2.9.3 & 2.9.4 | | <ul style="list-style-type: none"> • Identification of the target population for jail diversion. • Identification of staff and their responsibilities. • Plan for continuous cross-training of mental health and criminal justice staff. (The review team's expectation is that there is at least annual training and the PIHP maintains documentation what shows the date of the training, who attends, as well as the training topic.) • Specific pathways for the diversion process. (The pathways for the diversion process must include pre- and post booking as well as in-jail services.) • Description of specific responsibilities/services of the participating agencies at each point in the pathway. • Data collection and reporting requirements. (Reference B.14.6) • Process for regular communications including regularly scheduled meetings. (Reference B.14.4) • The team will also review evidence to support that each CMHSP within the PIHP has formal linkages in place with family courts and the juvenile justice system Collaborative working relationships can positively impact the successful diversion of children. <p>Sources of information include:</p> <ul style="list-style-type: none"> • The PIHP's Jail Diversion |

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| | | <p>policy/procedure/guideline</p> <ul style="list-style-type: none"> • Agreements with criminal justice system (courts, jail, law enforcement, prosecutors) • Identification of each enforcement entity in their service area. • Clinical files documentation which demonstrates that individuals meet eligibility requirements for jail diversion and in-jail services. |
| <p>B.14.2. has a post-booking jail diversion program in place that ensures jail detainees are screened for the presence of a serious mental illness, co-occurring substance disorder, or developmental disability within the first 24-48 hours of detention.</p> | <p>Providing for early identification of individuals with mental health treatment needs who meet the diversion criteria is done through the initial screening and evaluation that usually takes place in the arraignment court, at the jail, or in the community for individuals out on bond. It is important to have a process in place that assures that people with mental illness are screened in the first 24 to 48 hours of detention.</p> | <p>The site review team will validate that there are effective processes to:</p> <ul style="list-style-type: none"> • Assure that people with mental illness are screened in the first 24 to 48 hours of detention. • Evaluate jail detainee's eligibility for the jail diversion program. • Link eligible jail detainees to the array of community-based mental health and substance abuse services. <p>Sources of information include:</p> <ul style="list-style-type: none"> • Jail diversion agreements • Jail Diversion data • Documentation that supports that screening takes place within the first 24-48 hours of detention. • Documentation that demonstrates the outcome of jail diversion activities. |

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| | | <ul style="list-style-type: none"> • Policies and procedures, guidelines • Evidence of linking to services. • Evidence of on-site assessments for inmates receiving in-jail services. • The presence of standardized jail diversion and data collection tools across the PIHP. |
| <p>B.14.3. assigns specific staff to the pre-booking and post-booking program to serve as liaison between the mental health, substance abuse, and criminal justice systems.</p> <p>MDCH/CMHSP Managed Mental Health Supports and Services Amendment #1</p> | | <p>The site review team will validate that:</p> <ul style="list-style-type: none"> • A pre-booking jail diversion program (interventions before formal charges are brought against the individual) exists. • A post booking jail diversion program (interventions after the individual has been arrested and jailed) exists. • The PIHP is delivering in-jail services as appropriate. • Specific staff member(s) are identified as liaisons to bridge the barriers between the mental health and criminal justice system. • Documentation supports recruitment efforts to obtain staff experienced in both mental health and criminal justice systems. • Documentation supports that case managers are provided effective training with specific criminal justice focus. (Review team may ask to review training records to ensure that jail diversion staff and other PIHP staff members are knowledgeable about the jail diversion program). |

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| | | <p>Sources of information will include:</p> <ul style="list-style-type: none"> • Jail Diversion agreements • Personnel records • Staff job descriptions • Training records (i.e., cultural competence, criminal justice system, mental health, etc.,) • Documentation which shows evidence of liaison activities (i.e., working relationships with prosecutors, defense attorneys, courts, law enforcement and corrections officers, to produce a disposition outside the jail in lieu of prosecution or as a condition of a reduction in charges), and linking individuals to the array of community-based services they require. • Examples of court diversions, including documentation of pre-release planning activities. • Evidence of pre & post booking activities. |
| <p>B.14.4. establishes regular meetings among the police/sheriffs, court personnel, prosecuting attorney, judges, and CMHSP representatives.</p> | | <p>The site review team will establish that there are regular meeting among the key players (prosecutors, defense attorneys, judges and court personnel, law enforcement and corrections officers) to encourage coordination of services and the sharing of information.</p> <p>Sources of information will include:</p> <ul style="list-style-type: none"> • Jail Diversion agreements and policies. • PIHP activities that promote attendance of law enforcement and mental health personnel attendance at jail diversion program meetings, |

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| | | <p>including:</p> <ul style="list-style-type: none"> • Meeting schedules • Meeting agendas • Meeting minutes (inclusive of recommendations, identification of responsible party, follow-up from previous meeting, implementation of accepted recommendations.) • Sign in sheets that identify participants, their title, and meeting date • Any correspondence that demonstrates the PIHP's attempts to communicate with law enforcement personnel |
| <p>B.14.5. provides cross training for law enforcement and mental health personnel on the pre-booking and post-booking jail diversion program.</p> | | <p>The site review team will examine information sources for evidence of cross training for law enforcement and mental health personnel.</p> <p>Possible documentation sources include:</p> <ul style="list-style-type: none"> • Training dates • Training Announcements • Training curriculum (i.e., crisis intervention, mental illness symptoms, consultation between mental health and police) inclusive of title of training, goals and objectives • Minutes of session • Sign in sheets that identify participants, their title, and meeting date • Pre- and Post tests (though not required this is |

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| | | <p>one way for the PIHP to demonstrate that effective training is taking place)</p> <ul style="list-style-type: none"> • Evaluation of training (i.e., survey results from participants) • Recommendations for improvement |
| <p>B.14.6. maintains a management information system that can identify individuals brought or referred to the mental health agency as a result of a pre-booking or post-booking diversion.</p> <p>Medicaid Managed Specialty Supports and Services Contract, Section 6.5.1 & 6.5.2</p> | | <p>The review team will examine jail diversion data to measure the PIHP's accomplishments in the areas of pre- and post booking jail diversion activities. Data should be reflective of jail diversion activities and outcomes as indicated in the Jail Diversion Practice Guideline.</p> <p>The PIHP must provide MDCH with uniform data and information. The management information system must be HIPAA compliant and must identify individuals brought to the mental health agency as a result of a pre-booking or post-booking diversion. The PIHP's data collection system must allow them to produce reports for discreet time periods that identify the overall numbers of individuals diverted, both pre- and post booking.</p> <p>Reports should describe:</p> <ul style="list-style-type: none"> • Type of crime • The individual's diagnosis • Type and quantity of services provided while in diversion • Outcomes of their care • Unique consumer ID as assigned by the CMHSP • Date of diversion |

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| B.15. CO-OCCURRING MENTAL HEALTH AND SUBSTANCE DISORDERS TREATMENT | | |
| <p>B.15.1. The PIHP is involved in organized, on-going collaborative efforts that involve individuals with co-occurring mental health and substance disorders who require services from multiple systems.</p> <p>(AFP 2.9.4.)</p> | <p>To address the complex need for co-occurring treatment, the PIHP should be involved in multi-collaborative efforts involving Coordinating Agencies, homeless shelters, criminal justice system, child welfare system, local education systems, local district health offices and primary care providers.</p> | <p>The review team will look for evidence of compliance. This evidence could include:</p> <ul style="list-style-type: none"> • Documentation of meetings that have been convened with identified stakeholders, including SA Coordinating Agencies • Agreements and/or consensus documents, memorandums of understanding, between the PIHP and other identified stakeholders |
| <p>B.15.2. The PIHP has adopted common policies and procedures concerning assessment and service provision for individuals with co-occurring mental health and substance use disorders.</p> <p>(AFP 3.8.4.)</p> | <p>There are advantages to having a system that is similar across service areas. The best practices and approaches that are successful can be honed and refined and shared to all entities. Common efforts make work efficient and enhance the economy of scale. Co-occurring disorders happen in urban and rural areas and services should be uniformly of high quality and equally available.</p> <p>PIHPs should develop specific policy statements that will help the system to achieve co-occurring capability that applies throughout the service array of the agency and not simply focusing on a single or specialized Co-occurring disorder group or unit.</p> | <p>The review team will review administrative policies and procedures to ensure that the PIHP has common policies for co-occurring mental health and substance use disorders and that the policies are implemented consistently throughout the PIHP.</p> <p>An absence of a policy will result in a score of 0. Separate mental health and substance abuse policies would also score 0.</p> <p>Further evidence of meeting the standard would be documentation that supports that staff at all the levels of the agency participated in the process of building the infrastructure needed to achieve co-occurring capacity.</p> |
| <p>B.15.3. Access centers/units in the service area routinely screen and assess for co-occurring disorders.</p> <p>(AFP 3.8.4.)</p> | <p>Access centers and units must screen and/or assess individuals for co-occurring disorders because of the high likelihood that individuals have both a mental illness and substance use disorder. Identifying the presence of a co-occurring disorder earlier and providing treatment can facilitate recovery.</p> | <p>The review team will look for documentation that supports that the PIHP's screening and/or access centers routinely screen and assess for co-occurring disorders.</p> <p>Supporting evidence could include:</p> <ul style="list-style-type: none"> • Identified process, including appropriate tools, to screen for the presence and types of substance |

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| | | <p>disorders.</p> <ul style="list-style-type: none"> Assessment processes that demonstrate a high expectation that a co-occurring condition may be present and clearly identifies and describes the beneficiaries strengths, goals, objectives, substance use, abuse and dependence disorder, periods of abstinence, etc Assessment and screening decision trees that demonstrate that the presence of co-occurring disorders is routinely screened and assessed. PIHP administrative policies and processes demonstrate their efforts at providing integrated co-occurring mental health and substance abuse treatment across their service delivery system Any documentation that demonstrates that individuals with a co-occurring mental health and substance use disorder are connected to integrated substance abuse and mental health services. <p>The site review team will remain sensitive to the fact that PIHPs are in different stages of implementing co-occurring mental health and substance disorders screening and treatment services and that the Department has allowed the CAs until October 2009 to implement integrated treatment.</p> |
| <p>B.15.4. All access centers/units in the service area have professional staff who are cross-trained in performing assessments for co-occurring disorders. (AFP 3.8.4.)</p> | <p>Cross training staff increases the quality of work and success of consumers. A competent and informed staff provides better treatment. Learning new assessment techniques to address both substance abuse and mental illness has a positive effect on co-occurring outcomes.</p> | <p>The review team will look for evidence that staff have been cross trained in performing assessments for co-occurring disorders prior to beginning work in the screening center. Supporting evidence could include:</p> <ul style="list-style-type: none"> PIHP has a competency development plan that is designed around principles of co-occurring disorder treatment which includes, welcoming |

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| | | <p>attitudes, screening, assessment and integrated plan, motivational interviewing, stages of change and stage match treatment interventions, substance abuse treatment skills, etc.</p> <ul style="list-style-type: none"> • Job descriptions that support the development of co-occurring capability • Documentation that staff have acquired core competency of co-occurring disorders through the process of supervised learning and on-going performance reviews. |
| <p>B.15.5. Service area has reasonable access (30 miles or 30 minutes in urban areas or 60 miles or 60 minutes in rural areas) to specialized services for co-occurring disorders.</p> <p>AFP 3.8.4.)</p> | <p>Limited travel time promotes access and assists with engagement of the consumer.</p> | <p>The review team will look for evidence that the service area meets time/distance requirements.</p> <p>Information sources would include:</p> <ul style="list-style-type: none"> • A map of program locations and specialized services for co-occurring disorders • Interviews with people with co- occurring treatment needs about their proximity to service sites |
| <p>B.15.6. Integrated services are provided for all individuals with co-occurring mental health and substance disorders.</p> <p>(AFP 3.8.4.)</p> | | <p>The review team will look for evidence that integrated services are provided. Supporting evidence could be found in clinical records, administrative policies and procedures, staff training records, consumer interviews, and appropriate substance abuse licensure for the program.</p> |
| <p>B.15.7. The PIHP has integrated person-centered planning processes for individual with co-occurring mental health and substance disorders.</p> <p>(AFP 2.2.2.)</p> | | <p>The review team will review administrative policies and procedures to ensure that the policies address integration of person-centered planning processes for individuals with co-occurring mental health and substance use disorders.</p> <p>Individual plans of service and consumer interviews may</p> |

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| | | <p>also support compliance with this standard, as well as the presence of a PIHP process to maximize the continuity of care for each beneficiary by ensuring coordination across multiple episodes of care and linking with multiple systems in the community.</p> <p>Goals and objectives in the individual plan of service should address both mental health and substance use disorders.</p> |
| <p>B.15.8. The PIHP has formal procedures in place to assure that individuals are not inappropriately denied access during screening, initial assessment, or access process for individuals with a co-occurring mental health and substance disorder.</p> <p>(AFP 3.1.3.)</p> | | <p>Evidence of compliance would include:</p> <ul style="list-style-type: none"> • Demonstration that the PIHP does not have any formal or informal policies or procedures that restrict access to people who are actively using alcohol or other drugs. <p>Sources of information would include:</p> <ul style="list-style-type: none"> • PIHP's access procedure • anecdotal information from individuals receiving substance abuse treatment about denials of eligibility for mental health treatment. |
| <p>B.15.9. Outreach is regularly and consistently conducted for individuals with co-occurring mental health and substance disorders.</p> <p>(AFP 3.1.2.)</p> | | <p>Evidence of compliance could include:</p> <ul style="list-style-type: none"> • Brochures, TV, radio and billboards that address outreach for individuals with co-occurring mental health and substance use disorders <p>Documentation of outreach efforts to people in co-occurring high risk groups</p> <p>Documentation of outreach to programs and sites where individuals with co-occurring treatment needs gather together</p> <p>Documentation of outreach efforts to self-help groups such as</p> |

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| | | DRA, Double Trouble, AA or NA |
| B.16. SUBSTANCE ABUSE ACCESS & TREATMENT (Medicaid Managed Specialty Supports and Services Contract, Statement of Work, Section 2 Supports and Services, Section 3 Access Assurance) | | |
| B.16.1. The PIHP ensures that the required continuum of substance abuse rehabilitative services is available. | | The review team will expect the PIHP to provide evidence that they contract or provide substance abuse access management system, outpatient, intensive outpatient, and methadone treatment services. |
| B.16.2. The PIHP has sufficient capacity to meet demands for substance abuse services. | | The review team will check for the presence of any waiting lists for any of the required services. The presence of a waiting list is clear evidence that a PIHP has insufficient capacity. Individual interviews may also confirm the presence or absence of sufficient service capacity. |
| B.16.3. The PIHP meets the time and distance requirements for access to substance abuse services. | Close proximity and quick time to access helps this vulnerable population stay engaged and comply with services. Distance and time should not be an obstacle as to continuing membership in co-occurring recovery process. | The review team will look for evidence that the service area meets time/distance requirements. Evidence could include a showing a map of program locations and specialized substance abuse services. Interviews with individuals should confirm that access requirements for time and distance to get to services are met. |
| B.16.4. The PIHP meets the requirements to provide 24 hours a day, 7 day a week access to substance abuse screening assessment and referral services. | Substance abuse and possible relapse can happen any time of the day or night. Having a 24/7 system in place to address crisis intervention, screening, and referrals for substance abuse consumers are a basic necessity and an indicator of the quality of mental illness and substance abuse treatment. | The review team will look for evidence that the PIHP has sufficient capacity to provide screening 24 hours per day, seven days per week. Evidence could include: <ul style="list-style-type: none"> • Contracts with a provider to complete the after hours coverage • Administrative policies and procedures that address business hours and after hours access to screening, assessment and referral services. |

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| B.16.5. The PIHP has effective methods for assuring that substance abuse treatment is based on the development of an individualized treatment plan. | An individualized plan is required for individuals with a substance use disorder. | Supporting evidence will be sought in clinical record reviews. Common goals and objectives seen in multiple records in a program are an indicator that treatment has not been individualized. |
| B.16.6. The PIHP has a process for ensuring that substance abuse treatment providers make clinical decisions consistent with the Medical Necessity Criteria for Medicaid Mental Health and Substance Abuse Services requirements as attached to the contract. | | The review team will look for evidence that the PIHP has effective processes for ensuring that substance abuse treatment providers make clinical decisions consistent with the contract. Does the diagnosis for each individual include a substance use disorder? Does information in the assessment support such a diagnosis? |
| <p>C.1. IMPLEMENTATION OF PERSON-CENTERED PLANNING</p> <p>Medicaid Managed Specialty Services and Supports Contract, Attachment P 3.4.1.1. Person-Centered Planning Practice Guideline</p> <p>Attachment 3.11.3 Consumerism Best Practice Guideline.</p> <p>MHC 712</p> <p>Chapter III, Provider Assurances & Provider Requirements</p> <p>Attach. 4.7.1 Grievances and Appeals Technical Requirement.</p> <p>MDCH Administrative Hearings Policy and Procedures dated 9/1/99.</p> <p>Technical Requirements in 42CFR on Grievance and Appeals.</p> | | The site review team will verify that the PIHP/CMHSP has a DCH-approved policy or practice guideline that delineates how family-centered practice will be implemented as it pertains to children, youth, and families. |
| C.1.2. Process for informing consumers of their rights to person-centered planning. | Individuals must be fully informed about person-centered planning processes, including their rights, in order for them to be aware of the choices they are | The review team will review person-centered planning brochures and how they are distributed to individuals. |

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| | <p>able to make throughout the planning and services delivery process.</p> <p>The parent of a minor child should be notified of appeal rights.</p> | <p>During interviews with consumers and family members individuals will be asked how they were informed about person-centered planning processes.</p> <ul style="list-style-type: none"> • Were individuals given informational brochures or informed of person-centered planning in other ways? • Do people confirm that they were able to invite whom they wanted to attend the meeting? • Do people understand that they can request that a person-centered planning meeting be convened whenever they want, and that they are not restricted to a once a year event? • Do they understand that they have the right to independent facilitation? |
| <p>C.1.3. The individual is provided with options of choosing external facilitation of their meeting, unless the individual is receiving short-term outpatient therapy only, medication only, or is incarcerated.</p> | | <p>The review team will review administrative materials, clinical records, and interview individuals receiving services to determine compliance in this area. Evidence of compliance could include:</p> <ul style="list-style-type: none"> • Customer Services brochures which identify the availability of independent facilitation • PIHP contracts with independent facilitators • The presence of individual plans of service that were developed through independent facilitation in clinical records reviewed • Interviews with individuals receiving services confirm that they were informed of the availability of independent facilitation and allowed to choose independent facilitation if they desired |

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| C.1.4. Staff members are trained in the philosophy and methods of person-centered planning. | | <p>The review team will look for evidence that staff were trained to provide services in a person-centered planning approach or when working with children and families, a family-centered approach. Sources of evidence could include:</p> <ul style="list-style-type: none"> • PIHP's administrative policy on person-centered planning (is training occurring at the frequency identified in the policy?) • Personnel files • Flyers from trainings provided • Sign-in sheets from trainings and in-services <p>Failure of the individual plans of service to demonstrate compliance with person-centered planning requirements is an indication that staff training was ineffective.</p> |
| C.1.5. The PIHP has a process for assuring subcontractors' implementation of and compliance with person-centered planning requirements. | | <p>The review team will look for evidence that the PIHP's provider monitoring activities include assessing provider compliance with all person-centered planning requirements.</p> <p>Is there documentation that supports that the PIHP is conducting effective provider monitoring reviews?</p> <p>Evidence of compliance:</p> <ul style="list-style-type: none"> • Documentation shows follow-up on issues addressed during quality management internal site reviews at provider agencies • Contract providers implement actions to correct identified deficiencies. |
| C.1.6. Preplanning meetings occur before a person- | | The review team will look for evidence of compliance, |

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| centered planning meeting is originated. | | <p>including pre-planning meeting documentation for non-urgent/emergent services, within the clinical record</p> <p>Are pre-planning meetings taking place immediately before the plan of service development meeting or are they occurring far enough in advance of the person-centered planning so that the individual's desires can be fully implemented as part of the planning process?</p> <p>Is there evidence that the individual's desired participants were contacted for their availability before the planning meeting date is scheduled?</p> |
| C.1.7. Accommodations for sensory and/or communication handicaps and cultural diversity are provided if needed. | <p>A person's cultural background shall be recognized and valued in the decision making process.</p> <p>Services should be designed to include ways to respond to an individual's ethnic and cultural diversities.</p> | <p>The review team will look for evidence to support that the PIHP/CMHSP is accommodating individual's cultural diversity and any sensory or communication needs. Evidence of compliance would include:</p> <ul style="list-style-type: none"> • Interviews with consumers and family members that confirm that cultural diversity and communication handicaps were addressed • Documentation supports that staff completed cultural diversity training (sign-in sheets and personnel files) • Customer service information and orientation packets. • PIHP policies address how they will accommodate sensory and communication needs, as well as cultural needs • The PIHP is able to demonstrate adequate capacity to provide interpreters as necessary to meet individuals' needs <p>The plans and progress notes reflect that the PIHP:</p> |

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| | | <ul style="list-style-type: none"> Actively seeks information directly from the family about the family culture That family cultural greatly influenced the selection of interventions in the plan The PIHP is complying with Department policies on providing language assistance, including providing written materials in the family's native language or preferred mode. |
| C.1.8.1. Person-centered planning addressed: individual's dreams, desires, and/or goals. | | <p>The review team will review the clinical record to ensure that pre-planning activities identified all of the individuals, including family members, friends, and professionals, that the individual desires or requires to be part of the planning process.</p> <p>The review team will interview individuals receiving services, and review clinical records to determine if person-centered planning processes addressed the individual's desires and goals.</p> |
| C.1.8.2. Person-centered planning addressed individual's strengths, not weaknesses. | <p>When working with children and their families, family-centered practice should focus on the child's strengths, family member's strengths, and family strengths as a whole.</p> <p>Strengths and culture should be reflected in intervention strategies and objectives. The family-centered plans should build on the family's strengths, skills and competencies.</p> | <p>The individual's own words should be used throughout the person-centered planning process and the wording should be focused in the positive and avoid terminology of weaknesses or problem areas.</p> <p>Progress notes should address strengths, skills, and competencies.</p> |
| C.1.8.3. Person-centered planning addressed community inclusion. | <p>Community inclusion is the participation of an individual in everyday activities that is typical for most children and adults in our culture.</p> <p>Persons with a developmental disability, persistence mental illness and substance use disorder frequently</p> | <p>The review team will be looking for evidence that the individual plan of service developed through person-centered planning processes, addresses the individual's desires and needs for community inclusion. Sources of information would include:</p> |

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| | discover that it is not as easy to participate in everyday activities as other individuals who are not experiencing mental or physical problems. Some of these individuals live independently, but they still require supports to help build their skills. These individuals need support to learn skills that are required for full community inclusion. | <ul style="list-style-type: none"> • The individual plan of service • Individual interviews |
| C.1.8.4. Person-centered planning addressed natural supports. | The development of natural supports shall be viewed as an equal responsibility of the PIHP and the individual. The PIHP, in partnership with the person, is expected to develop, initiate, strengthen, and maintain community connections and friendships through the person-centered process. | <p>The review team will look for evidence that the person-centered planning process encourages strengthening and developing natural supports by inviting family, friends, and allies to participate in the planning meeting(s) to assist the individual with his/her dreams, goals and desires.</p> <p>The individual plan of service should identify if and how natural supports will be used to help the individual reach their desired outcomes.</p> |
| C.1.8.5. Person-centered planning addressed health and safety. | | Health and Safety needs should be identified and addressed in the planning process in partnership with the individual. The plan of service coordinates and integrates PIHP services with primary health care as necessary/desired by the individual. |
| C.1.9. Family-centered supports and services are provided for minor children. | | <p>Service delivery should concentrate on the child as a member of the family, with the wants and needs of the child and family integral to the plan developed. Parents and family members of minors shall participate in the person-centered planning process unless:</p> <ol style="list-style-type: none"> 1. The minor is 14 years of age or older and has requested services without the knowledge or consent of parents, guardian or person in loco parentis within the restrictions stated in the Mental Health Code: |

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| | | <p>2. Minor is emancipated; or</p> <p>3. The inclusion of the parent(s) or significant family members would constitute a substantial risk of physical or emotional harm to the recipient or substantial disruption of the planning process as stated in the Mental Health Code. Justification of the exclusion of the parents shall be documented in the clinical record.</p> <p>Services shall be delivered in a family-centered approach, implementing comprehensive services that address the needs of minor and his/her family. The Person-Centered Planning Policy Practice Guideline states: A family-centered approach recognizes the importance of the family and the fact that supports and services impact the entire family.</p> <p>In the case of minors, the child/family is the focus of service planning, and family members are integral to the planning process and its success.</p> <p>As a child matures toward transition age, services and supports should become more youth-directed.</p> <p>Family-Centered principles are outlined in the Family-Centered Practice Interpretive and Consultative Advisory dated October 26, 2006.</p> <p>Evidence of PIPH compliance could be found in:</p> <ul style="list-style-type: none"> • Assessments • Progress notes • Pre-planning documentation |

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| | | <ul style="list-style-type: none"> Individual plan of service <p>Progress notes should address if the parents were actually present at the session or if consultations have taken place.</p> <p>The interventions or methodology portions of the plan of service are a more logical place to show evidence of family centered practice principles than a goal statement.</p> |
| <p>C.1.10. Individuals have ongoing opportunities to express their needs and desires, preferences, and meaningful choices.</p> | <p>When working with children and their families, children and their family's needs, desires, preferences and meaningful choices need to be addressed.</p> <p>The individual's choices and preferences shall always be honored and considered, if not always granted.</p> <p>A recipient shall be given a choice of physician or other mental health professional in accordance with the policies of the community mental health services program, licensed hospital, or the service provider under contract with the community mental health services program, or licensed hospital providing services within the limits of available staff in the community mental health services program, or licensed hospital.</p> <p>The community mental health services program shall deliver services in a manner that demonstrates they are based upon recipient choice and involvement.</p> | <p>The review team will review individual plans of service, and interview individuals to verify that they have been given ongoing opportunities to express their needs and desires.</p> <p>Documentation should clearly support that individuals have been given the opportunity to express preferences and exercise choices as part of the person-centered planning process and that they planning meetings are not limited to an annual planning meeting. Does the individual have ongoing opportunities to implement person-centered planning processes, including plan development, revisions, and modifications.</p> <p>Evidence of this could be documented in pre-planning documentation or progress notes prior to the planning meeting. Documentation in the individual plan of service also should identify the individuals' desired services, supports, and outcomes.</p> <p>Documentation should demonstrate how an individual's preferences and choices are determined, when the individual is not able to clearly communicate.</p> |
| <p>C.1.11. Individuals are provided with ongoing opportunities to provide feedback on how they feel about services, supports and/or treatment they are receiving, and their progress towards attaining</p> | <p>Children, youth and families are provided with ongoing opportunities to provide feedback on the impact of their services, the support and/or treatment they are receiving, and their progress toward attaining valued outcomes. Changes in the plan are</p> | <p>Adjustments of services could be documented in progress notes and new services should be noted in addendum to plan of service.</p> <p>The review team will look for documentation that clearly</p> |

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| valued outcomes. | made in response to the youth and family's feedback. A dynamic process is important for children and families because of rapidly changing developmental needs. | <p>demonstrates that individuals have been afforded opportunities to provide feedback on the services they receive and whether they are making progress towards achieving desired outcomes. Potential sources include:</p> <ul style="list-style-type: none"> • Satisfaction Surveys • Administrative interviews with consumers and family members • Mystery Shopper Program • Consumer focus groups • Progress notes • Periodic reviews of the individual plan of service <p>Individual plan of service amendments can show that an individual's feedback was acted upon and resulted in changes to the plan.</p> |
| C.1.12. Individuals are provided an opportunity to develop a crisis plan. | | <p>The review team will look at administrative policies to ensure that the PIHP has a policy and process for ensuring that crisis planning is made available to persons. This includes ensuring that individuals are provided information about crisis planning and given the necessary supports to develop one if they desire.</p> <p>Evidence of compliance could be documentation that crisis planning was offered and made available, or the presence of a crisis planning document in the clinical record. Evidence of compliance could also be assessed by DCH site reviewers through consumer interview and documentation of staff training relative to the implementation of crisis planning.</p> |
| C.1.13. Individuals are provided the opportunity and support to develop a psychiatric advanced | | The site review team will review administrative policies |

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| directive. | | <p>and procedures to see if the agency has processes to:</p> <ol style="list-style-type: none"> 1. Inform individuals about psychiatric advanced directives 2. Ask individuals if they would like to develop a psychiatric advanced directive 3. Provide individuals with any assistance and support needed to develop a psychiatric advanced directive <p>Evidence of compliance would include:</p> <ul style="list-style-type: none"> • Individuals were offered a training session or workshop on psychiatric advanced directives • A copy of the completed psychiatric advanced directive in the case record • Documentation in the case record which supports that the individual was provided the opportunity to develop a psychiatric advanced directive • Interviews with individuals who are receiving services that confirm that they were provided information and an opportunity to develop a psychiatric advanced directive <p>There is no expectation that psychiatric advanced directives will be present in a certain percentage of the case records reviewed by the team. The site review team will keep in mind that completing a psychiatric advanced directive is not required and is something an individual chooses to do. However, if the review team finds that case records consistently document that individuals declined the opportunity to develop a psychiatric advanced directive, they will question how information about psychiatric advanced directives is presented to</p> |

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| | | people, and assess whether the agency is providing the supports necessary for individuals to develop one. This is especially true for those service populations where there is a high likelihood that individuals could benefit from developing a psychiatric advanced directive, i.e. individuals who are receiving ACT or Clubhouse services. |
| C.2. PLAN OF SERVICE AND DOCUMENTATION REQUIREMENTS | | |
| C.2.1. Individual plans of service are developed within 7 days of commencement of services. | | <p>The review team will look for evidence that a preliminary plan of service is developed within 7 days of commencement of services. Sources of evidence could include:</p> <ul style="list-style-type: none"> • A preliminary plan of service • An initial assessment • Administrative policies/records • Progress notes |
| C.2.2. Specific services and supports to be provided, including the amount, scope, and duration of services, are identified in the plan of service. | | The review team will look for evidence that the plan documents date(s) services or supports are to begin and specifies the scope and duration, intensity, frequency of face-to-face monitoring contacts and who will provide each authorized service or support. Documentation should support that the use of alternative services were discussed. |
| C.2.3. The plan of service identifies available conflict resolution processes. | Conflict resolution mechanisms include all formal and informal mechanisms the PIHP has in place to assist the individuals with resolving any issues they have with the planning process, service providers and service delivery. | The review team will look for evidence that the plan documents the multiple avenues (including formal and informal mechanisms) that can be utilized for problem solving assistance, i.e., case manager, customer services, recipient rights, if dissatisfaction or concerns arise regarding services or service provision. Evidence of |

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| | | <p>compliance will be obtained from:</p> <ul style="list-style-type: none"> • Consumer interviews • Fair hearing notices that identify where individuals can obtain informal problem solving assistance, as well as the formal appeal mechanisms • Information on recipient rights, i.e. brochures |
| C.2.4. Individuals are provided timely Adequate Notice consistent with DCH format. | | <p>The review team will look at the adequate notice form to ensure that notice was given concurrent with plan development and that a copy of the adequate notice is in the clinical record. Valid adequate notice can not be provided at pre-planning because the plan of service has not been developed.</p> |
| C.2.5. The plan of service identifies the frequency that it will formally be reviewed (no less than annually) for effectiveness. | <p>Service is updated based on the needs of the child and family, and the frequency of review is identified in the plan. Since children develop at a much faster rate than adults, more frequent review of the plan may be warranted if requested by the child and family, or in some instances, as required by certain programs, e.g., Early On, Children's Waiver, wraparound. These reviews can be documented in progress notes, or as otherwise required by the program.</p> | <p>Adjustments of services could be documented in progress notes and new services should be noted. The review team will look for evidence that the reviews of effectiveness of the plan of service are completed at the intervals identified in the plan. Evidentiary sources would include:</p> <ul style="list-style-type: none"> • The individual plan of service • Addendums to the plan of service • Reviews of the individual plan of service |
| C.2.6. Individuals are provided a copy of their individual plan of service within fifteen business days after the planning meeting. | | <p>The review team will look for evidence that the consumer was provided a copy of their plan within fifteen business days after the planning meeting.</p> <p>This helps ensure that individuals can follow-up on goals and objectives and that they know whom to contact as supports for each goal area. Evidence of compliance</p> |

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| | | <p>may be found in:</p> <ul style="list-style-type: none"> • Administrative policies/records • Administrative staff interviews • Individual record reviews • Clinical Staff Interviews • Consumer/Family interviews |
| <p>C.2.7. Reviews of the effectiveness of the individual plan of service are completed at the intervals identified in the plan and include a review of the individual's satisfaction with services and/or treatment and a review of progress made towards achieving desired outcomes.</p> | | <p>The review team will look for evidence that reviews of the plan of service are occurring at the frequency established in the individual plan of service. Evidence of compliance would be found in the periodic reviews. The expectation is that the plan of service would be modified when the services, supports or treatment provided did not assist the individual toward achieving their desired outcomes.</p> |
| <p>C.2.8. Services and treatment identified in the individual plan of service are provided as specified in the plan.</p> | | <p>The review team will look for evidence that services and treatment are being provided in accordance with the developed plan of service. Are services occurring at the amount, scope, and duration specified in the individual plan of service? Evidence may be found in:</p> <ul style="list-style-type: none"> • Progress Notes • Periodic reviews • Interviews with consumers/family members |
| <p>D. ADMINISTRATIVE SERVICE FUNCTIONS</p> <p>1. PROVIDER NETWORKS</p> <p>(Medicaid Managed Specialty Supports and</p> | <p>The PIHP is responsible for maintaining and continually evaluating an effective provider network adequate to fulfill the obligations of the MDCH contract.</p> <p>Regulatory management is a pro-active, preventive</p> | |

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| <p>Services contract, Section 6.4; AFP Section 3.8, 4.0)</p> | <p>approach to identifying, monitoring, and controlling risks associated with complex duties, obligations, rules, regulations and requirements (inclusive of applicable federal and state laws, guidelines).</p> <p>It is the expectation that the PIHP have effective provider monitoring activities to assure provider compliance with applicable requirements.</p> | |
| <p>D.1.1. The PIHP has adopted common policies and procedures for managing networks, including policies and procedures for use throughout the service area.</p> <p>Medicaid Managed Specialty Supports and Services contract, Section 6.4;</p> <p>AFP Sections 3.8, 4.0</p> <p>BBA 438.214.</p> | <p>The PIHP must have established uniform processes and practices for ensuring regulatory compliance.</p> | <p>The review team will seek evidence of a PIHP process for of continual re-evaluation of their provider network.</p> <p>The site review team will review PIHP provider contracts to ensure that the contracts:</p> <ul style="list-style-type: none"> • Specify in measurable terms, the obligations of the parties • Identify the term of the contract • Mandate the adoption of common policies, procedures, and forms for managing their provider network • Ensure that any affiliate CMHSP has been certified by the Department • Require individual practitioners and organizational providers to be credentialed according to the Department's Credentialing Process • Address timely access to services • Address that its providers are available 24/7 when the services are of a type that require 24 hour availability • Address grievance and complaint mechanism |

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| | | <p>and appeal systems to resolve disputes</p> <p>The review team will review the PIHP's continuous quality improvement to ensure that it addresses quality assessment and improvement of the provider network.</p> <p>The review team will look to see that the PIHP has regular means of communicating and providing information on changes in policies and procedures to its providers (i.e., answering written correspondence, offering provider-dedicated phone lines, and a regular provider newsletter).</p> <p>During reviews of clinical records, the review team will look for evidence that providers/affiliates consistently comply with PIHP requirements, including:</p> <ul style="list-style-type: none"> • The process for Out-of-Network coverage. If the PIHP is unable to provide necessary medical services covered under the contract to a particular beneficiary the PIHP must adequately and timely cover these services of network for the beneficiary, for as long as the entity is unable to provide them within the network. • The process to assure providers compliance with the requirement associated with limited English proficiency, cultural competence, and accommodation of physical and communication limitations. • The process for making oral interpretation services available free of charge to each potential beneficiary. This applies to all non-English languages not just those that the State identifies as prevalent. • The process for notifying beneficiaries on how to |

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| | | <p>access oral interpretation services.</p> <p>The review team will also look for evidence of how the PIHP has included primary and secondary consumers in the provider monitoring/management process. Sources of information could include:</p> <ul style="list-style-type: none"> • Administrative Policies and Procedures • Provider monitoring activities • Administrative oversight activities of provider monitoring activities |
| <p>D.1.2. The PIHP has policy and business procedures to assure regular monitoring and reporting on each network provider.</p> <p>BBA 42 CFR 438.230(b)(4)</p> <p>BBA 42 CFR 438.810</p> <p>Medicaid Managed Specialty Supports and Services contract, Section 6.4;</p> <p>AFP Sections 2.5, 3.8, 3.1.8</p> | | <p>The site review team will verify that there is a single point of responsibility within the PIHP for:</p> <ul style="list-style-type: none"> • Overseeing contract development and execution. • Ongoing contract and network management. <p>The site review team will seek evidence to support that the PIHP assures that the provider network:</p> <ul style="list-style-type: none"> • Responds to cultural, racial, and linguistic needs (i.e., interpretation services). • Services are accessible, (travel time, availability of public transportation) |
| <p>D.1.3. The PIHP has documentation that supports that on-site reviews of each provider are completed annually or more often if needed.</p> <p>Medicaid Managed Specialty Supports and Services contract, Section 6.4;</p> <p>AFP Section 3.8, Regulatory Oversight and</p> | | <p>The review team will look for evidence that formal provider monitoring is taking place on at least an annual basis, and that the PIHP takes the necessary action to ensure that identified problems with a given provider are corrected in a timely manner.</p> <p>Evidence of monitoring could include:</p> |

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| Management | | <ul style="list-style-type: none"> • Performance monitoring schedules • Performance monitoring reports • Corrective action plans submitted by contractual providers in response to PIHP monitoring activities • PIHP review of contractual provider's accreditation reports and corrective action plans • Quality activities • Meeting minutes • Documentation of actions taken to improve contractual provider's compliance with operational standards and requirements • Any history of sanctions imposed by the PIHP on its provider network for failure to meet operational requirements |
| <p>D.1.4. Provider performance reports are available for review by individuals, families, advocates, and the public.</p> <p>Medicaid Managed Specialty Supports and Services contract, Section 6.4;</p> <p>Encounter data</p> | | <p>The site review team will verify that the PIHP has:</p> <ul style="list-style-type: none"> • A process to provide people with access to performance monitoring reports • Evidence of the implementation of the process to provide information to individuals, families, advocates and the public <p>Sources of this information could include:</p> <ul style="list-style-type: none"> • Administrative policies and procedures • PIHP newsletters |

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| | | <ul style="list-style-type: none"> • PIHP annual reports • Interviews with individuals and stakeholder groups |
| <p>D.1.5. The PIHP has effective remedies to use to address provider compliance or performance problems.</p> <p>BBA 42 CFR 438.230(b)(4) corrective action</p> <p>BBA 42 CFR 438.240(a)(1) on-going quality</p> <p>Medicaid Managed Specialty Supports and Services contract, Section 6.4;</p> <p>AFP Section 3.8</p> | <p>The PIHP must have a process to address provider compliance or performance problems. The agreement should contain evidence to support effective application of remedies for non-compliance or performance problems inclusive of sanctions.</p> | <p>The site review team will evaluate evidence that may be included in:</p> <ul style="list-style-type: none"> • Policies and procedures • Contracts • Agreements • Any sanctions imposed on providers <p>The review team will look for evidence that the PIHP takes the necessary action to ensure that identified problems with a given provider are corrected in a timely manner.</p> |
| <p>D. ADMINISTRATIVE FUNCTIONS</p> <p>2. QUALITY IMPROVEMENT</p> <p>(Medicaid Managed Specialty Supports and Services contract, Section 6.7; AFP Section 3.9; Medicaid Provider Manual, Mental Health/Substance Abuse, Section 3.3)</p> | | |
| <p>D.2.1. The PIHP shall identify staff training needs and provide in-service training, continuing education, and staff development activities that include the topic areas of abuse and neglect (recipient rights), medical emergencies, environmental emergencies, universal precaution, behavior management (applied behavioral sciences); crisis management; Person-centered</p> | | <p>The training standards specified in the administrative rules are intended to impart a basic level of knowledge to staff. The site review team will look for evidence that:</p> <ul style="list-style-type: none"> • Training needs are identified • Any residential training curriculum used was approved by DCH and the PIHP. |

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| <p>training: cultural diversity, HIPAA, language proficiency; grievance and appeal; and other DCH training required for group home staff.</p> <p>Administrative Rule R330.1806</p> <p>AFP 3.8.3</p> <p>Person-Centered Planning Guideline</p> | | <ul style="list-style-type: none"> • Staff training took place • Staff training was effective • On-going training occurred as necessary to meet the needs of those individuals receiving services <p><u>Specialized residential</u></p> <p>Specialized residential home licensees, the CMHSP and the PIHP are accountable for insuring that direct care staff complete basic training course using an approved curricula. The CMHSP is expected to address, through their arrangements for the provision of specialized residential services, any unique or specific CMH contractual service provider expectations. Such expectations should include specifics regarding preferred training curricula, training providers, length of time for training, etc.</p> <p>The PIHP/CMHSP needs to assure that the selected curriculum is implemented with sufficient quality and quantity to meet the needs of staff to support the individuals with whom they currently work. It is expected that the specialized residential staff demonstrate that they are fully capable of implementing each recipient's written plan of service.</p> <p>Sources of information could include:</p> <ul style="list-style-type: none"> • Personnel records • Training records • Communication logs • Staff meeting minutes • Individual plans of service |

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| | | <ul style="list-style-type: none"> • Performance evaluations • Quality improvement plan(s) • Administrative policies and procedures • Trainer credentials/competencies • The training curriculum • Clinical records • Incident reports • Competencies/skills by observations • Requested demonstrations of skills/knowledge/competencies (i.e., implementation of an individual's behavioral plan) • PIHP monitoring activities (reviews, recommendations, corrective actions...) |
| <p>D.2.2. The PIHP meets the threshold for compliance with those indicators that have a standard.</p> <p>Medicaid Managed Specialty Supports and Services Contract (GF)</p> <ul style="list-style-type: none"> • Reporting requirements attachment P6.5.1.1 • Performance objective attachment P 7.0.2. | | <p>The site review team will:</p> <ul style="list-style-type: none"> • Monitor PIHP data submission for compliance • Examine data for compliance with identified standards/thresholds • Review plans to improve outcome objectives <p>The following materials may also be reviewed:</p> <ul style="list-style-type: none"> • Record of encounter data submission to the Department. |

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| | | <ul style="list-style-type: none"> PIHP quality improvement activity meeting minutes Implementation of corrective action plan(s) or recommendations to bring performance up to identified standards |
| <p>D.2.3. The PIHP has developed and fully implemented a policy and procedure for the review, analysis, reporting, and follow-up of consumer deaths and sentinel events.</p> <p>(MA contract, Amendment # 3, P6.5.1.1, Final 10-1-05 amendment)</p> | | <p>The review team will look for evidence that the PIHP has fully developed and implemented policies addressing consumer deaths and sentinel events. Sources of information will include:</p> <ul style="list-style-type: none"> Administrative policies Administrative staff interview Clinical staff interview Sentinel event data and the root cause analysis process. |
| <p>D.2.4.1. The PIHP has a specially constituted body in place for the review of aversive, restrictive or intrusive techniques, or psychoactive medications for behavior control purposes. (MPM, MH/SA 3.3)</p> | <p>Restrictive, aversive, or intrusive behavior management techniques, including the use of psychotropic medications for behavioral control purposes require approval by a specially constituted body.</p> | <p>The review team will look for Behavior Management Committee review of any use of psychotropic medication for behavior control purposes any time the documentation in the clinical record suggests that such medication is being prescribed for behavior management control purposes. A diagnosis of mental illness alone is not sufficient for avoiding the need for BMC review. Documentation in the clinical record, i.e., psychiatric assessment (using DSM IV criteria to justify Axis 1 premise) and medication reviews, must demonstrate that the medications are being prescribed to treat an active psychotic process.</p> <p>Sources of information will include:</p> <ul style="list-style-type: none"> Administrative records |

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| | | <ul style="list-style-type: none"> • Administrative staff interview • Clinical staff interview • Behavior Management Committee meeting minutes • Clinical record documentation (current psychiatric evaluations and medication reviews) |
| <p>D.2.4.2. The specially constituted body is comprised of at least three individuals, including a fully or limited licensed psychologist with formal training or experience in applied behavior analysis; and a licensed physician/psychiatrist</p> <p>Medicaid Provider Manual Section 3.3</p> | <p>The Medicaid Provider Manual requires that this specially constituted body have at least 3 individuals, including a fully or limited licensed psychologist with training or experience in applied behavioral analysis, and a licensed physician/psychiatrist.</p> | <p>The review team will look for evidence that the specially constituted body meets composition requirements. Sources of information would include:</p> <ul style="list-style-type: none"> • PIHP Behavior Management policy and procedure • Administrative records • Administrative staff interview • Clinical staff interview |
| <p>D. ADMINISTRATIVE FUNCTIONS</p> <p>3. HEALTH & SAFETY</p> <p>(Medicaid Managed Specialty Services and Supports Contract, Attachment P 3.4.1.1; B.B.A. 438.208)</p> <p>Administrative rule Section 3(9) of Act 218 P.A. 1979, as amended</p> | <p>It is essential that the PIHP has clearly defined processes to address consumer health and safety. The health of all consumers should be reviewed periodically. The intent is to assist consumers in screening for health and safety issues that need further assessment, treatment and or accommodation.</p> <p>The information obtained may also help in providing continuity of care; assisting the consumer in maintaining the highest level of physical health possible; insuring the consumer's safety and well being; and coordination of medical services.</p> | |
| <p>D.3.1. Organizational process for addressing health issues.</p> | <p>In order to coordinate the appropriate delivery of health care services to enrollees who are eligible for</p> | <p>The site review team will examine the PIHP's organizational process for identifying and addressing</p> |

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| <p>Administrative Rule R 330.2802</p> <p>Person-centered planning Best Practice Guideline</p> <p>Attachment 3.4.1.1. to the MDCH Contract</p> <p>Medicaid Managed Specialty Services and Supports Contract Attachment P 3.3.1</p> <p>AFP Section 2.7</p> | <p>Medicaid, clarity regarding the respective agency responsibilities is necessary. Referral procedures and effective means of communication must be developed and implemented within the PIHP and with the enrollees' healthcare providers.</p> | <p>health care issues. Sources of information and evidence of compliance may be found in:</p> <ul style="list-style-type: none"> • PIHP administrative policies and procedures • Clinical records • Health & nutritional screens • Consumer interviews • Staff/administrative interviews • Staff training records • Quality activities • Prevention programs • Site review staff observations during program reviews |
| <p>D.3.2. Organizational process for monitoring medications.</p> <p>R 330.2813</p> | <p>Medications are frequently used in the treatment of mental and emotional illnesses. To maintain safe use of psychotropic medications the agency should have uniform guidelines and policies and procedures for consumer psychotropic medications, i.e., policy for monitoring laboratory values of individuals receiving chemotherapy. It would be expected that baseline laboratory testing would be performed on clients prior to initiating chemotherapy and periodically thereafter. All test results should be reviewed and initialed by a medical health care professional (i.e., MD, RN, PA). A copy of the test(s) should be maintained in the client's record).</p> <p>For individuals receiving certain psychotropic medications the psychiatrist should evaluate the consumer to assess for Tardive Dyskinesia utilizing a</p> | <p>The site review team will examine/conduct the following sources for evidence of compliance:</p> <ul style="list-style-type: none"> • Written policies and procedures for example, laboratory studies, AIMS, storage, preparation, dispensation and administration consent forms, prescriptions, verbal orders, controlled substances, and medication errors • Clinical records • Medication consents • Medication reviews • Health screenings (reviewed by a medical health |

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| | <p>scale such as AIMS. Results of the assessment should be documented in the clinical record using the AIMS form and/or in clinical medication review notes.</p> <p>Informed medication consents must be obtained prior to medication administration and be counter signed by a medical health care professional to indicate medication education and information regarding desired outcomes, the use, side effects, precautions, storage, etc., were appropriately provided by a healthcare professional to the individual and/or their guardian.</p> <p>Note: Consents must be appropriately signed, witnessed and dated. An informed consent must contain three elements: competency, knowledge, and given voluntarily. There should be an instruction that an individual is free to withdraw their consent, verbally or in writing, and discontinue the medication at any time without prejudice to the consumer</p> | <p>care professional when appropriate)</p> <ul style="list-style-type: none"> • Consumer interviews • Staff/administrative interviews • Staff training records (i.e., 5 R's) • Evaluations of staff competence • Quality activities • Review team member observations during program site visits • Coordination of care with the primary care physician, i.e., medication reviews |
| <p>D.3.3. Organizational process for addressing safety issues.</p> <p>AFP Section 2.7</p> | <p>Consumer safety should be assessed and identified across multiple domains (home, workplace, school, community) in order to determine if there is a need for a recommendation or referral. All recommendations should be documented as part of the planning process.</p> <p>Simply asking the individual “do you feel safe” and getting a response of “yes” is not enough. The intent is to assist clients in screening for safety that may need further assessment and/or treatment.</p> <p>The agency may develop a screening tool to help the individual identify areas of concern. For example, a child may ride his bike in the street. Parents may not see this as a concern. However, each year, more than</p> | <p>The site review team will examine/conduct the following sources for evidence of compliance:</p> <ul style="list-style-type: none"> • Written policies and procedures • Clinical records • Assessments • Progress notes • Plans of Service • Safety screenings |

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| | <p>500,000 people in the US are treated in emergency department, and more than 700 people die as a result of bicycle-related injuries. The PIHP could recommend the use of helmets & pads, reduce nighttime biking, wear reflective clothing,</p> <p>This process of identifying safety issues should be ongoing and identified concerns should be addressed during the planning process. Concerns identified after planning may be included in progress notes and/or addressed in an addendum to the individual plan of service or status review.</p> | <ul style="list-style-type: none"> • Consumer interviews • Staff/administrative interviews • Staff training records • Site review staff observations during program reviews and site visits |
| <p>D.3.4. Incident reports</p> <p>AFP Section 2.7</p> | <p>The intent is that procedures are developed and implemented for the timely reporting and resolution of issues that may pose a treat to life, health or property. The reporting of injuries need to be documented on an incident report form. The incident report should be reviewed and recommendations/actions to prevent the same incident from reoccurring should be identified/implemented.</p> | <p>The site review team will examine/conduct:</p> <ul style="list-style-type: none"> • Written policies and procedures • Completed incident reports/logs • Review of clinical records • Consumer interviews • Staff/administrative interviews • Training records • Quality activities • Trend identification and follow-up |
| <p>E. COORDINATION</p> <p>(Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work; B.B.A. 438.208)</p> | <p>Through the collaborative process, different abilities of health care providers are used to solve problems, communicate, and plan, implement and evaluate mental health services. There should be evidence of a collaborative effort to meet the service needs and fill in the gaps as well as provide a seamless transition of services as needed.</p> | |

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| <p>E.1. Health Care Plans</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>B.B.A. 438.208</p> <p>CMHSP/PIHP Model Agreement: Behavioral Health</p> | <p>Many Medicaid beneficiaries receiving services from the PIHP will be enrolled in a Medicaid Health Plan (MHP) for their health care services. The MHP is responsible for non-specialty level mental health services. It is essential that the PIHP have a written, functioning coordination agreement with each Medicaid Health Plan</p> <p>The intent of establishing written procedures between Health Plans and PINP is to assure service coordination and continuity of care for persons receiving services from both organizations. It is essential that the parties define the service/coverage package that will be provided by each party to mutual consumers. This must also specify any limitations on amounts of services.</p> | <p>PIHP written agreement describes the coordination arrangements. Agreements must incorporate the following:</p> <ul style="list-style-type: none"> • Legal basis • Term of agreement • Administration and authority • Areas of shared responsibility • Referral • Interagency assessment and supports/services planning • Emergency services • Pharmacy and laboratory service coordination • Medical coordination • Quality improvement coordination • Data and reporting requirements • Grievance and complaint resolution • Dispute resolution • Governing laws <p>Limitations on the amounts of services may include but are not limited to the following:</p> <ul style="list-style-type: none"> • Emergency services |

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| | | <ul style="list-style-type: none"> • Inpatient psychiatric hospital and other hospital services • Outpatient mental health services • Physician services (i.e., neurological) • Pharmacy and laboratory services • Therapies (physical, occupational, speech) • Personal care (Home Help) • Substance abuse services • Transportation to medical services or mental health services <p>Note: To insure that the services provided by these agencies are available to all PIHP's, individual contractors can not require an exclusive contract as a condition of participation with the PIHP.</p> |
| <p>E.2. Local Community Agency Collaboration:</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>B.B.A. 438.208</p> <p>AFP Section 2.9</p> | <p>Local coordination and collaboration agreements are required and agreements with these entities will make a wider range of essential supports and services available to the PIHP individuals.</p> | <p>The site review team will evaluate the agreement and its implementation. Sources of information will include:</p> <ul style="list-style-type: none"> • PIHP written coordination agreement |
| <p>E.3. Multipurpose Collaborative Bodies *</p> <p>Medicaid Managed Specialty Services and Supports</p> | <p>Multipurpose Collaborative Bodies agreements are required and will make a wider range of essential supports and services available to the PIHP individuals.</p> | <p>The site review team will evaluate the PIHP's involvement and participation in the Multi-purpose Collaborative Body. Sources of information could include:</p> |

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| <p>Contract, Part 2 - Statement of Work, Section 6.4.4.</p> <p>B.B.A. 438.208</p> <p>AFP Section 2.9</p> | | <ul style="list-style-type: none"> • Multi-purpose Collaborative meeting minutes that verify PIHP attendance • Relevant correspondence between the PIHP and the Multi-purpose Collaborative Body that demonstrates effective PIHP participation |
| <p>E.4. Schools/ISDs *</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>MDCH/CMHSP Managed Mental Health Supports and Services Contract: Special Education--to-Community Transition Guideline.</p> <p>B.B.A. 438.208</p> <p>AFP Sections 2.9, 6.9.6</p> <p>Mental Health Code 330.1227, Section 227</p> <p>Individual with Disabilities Education Act (IDEA).</p> <p>Vocational Education Act of 1984</p> | | <p>The site review team will evaluate evidence that the PIHP:</p> <ul style="list-style-type: none"> • Is involved with schools early enough to develop a mutual relationship based on the principles of inclusion, self-determination and age appropriateness which underlie both IDEA and the Michigan Mental Health Code. • Ensures that transition planning begins no later than the school year in which the individual student reaches 16 years of age. The PIHP is responsible for participating in the development of school-to-community transition services for individuals with serious mental illness, serious emotional disturbance, or developmental disability. • The PIHP coordinates with schools. <p>Sources of information would include:</p> <ul style="list-style-type: none"> • Any documentation that shows participation in IEP meetings • Correspondence or other documentation that shows information sharing is occurring between the PIHP and school systems • A PIHP written agreement with the school systems that describes the coordination |

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| | | arrangements, identifies how disputes between the agencies will be resolved, addresses school-to-community transition, and vocational education. |
| <p>E.5. Jobs Commission</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>B.B.A. 438.208</p> <p>AFP Section 2.4</p> | <p>The purpose of this agreement is to facilitate creating competitive work in integrated settings for persons with the most significant disabilities for whom competitive work has not traditionally occurred or has been interrupted as a result of a significant disability.</p> | <p>The site review team will evaluate the PIHP's written agreement with Michigan Rehabilitation Services to see if the agreement:</p> <ul style="list-style-type: none"> • Describes the coordination arrangements agreed to • Identifies how disputes between the agencies will be resolved |
| <p>E.6. DHS*</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>B.B.A. 438.208</p> <p>AFP Section 2.9</p> | <p>Agreements with DHS are required and will make a wider range of essential supports and services available to the PIHP individuals.</p> | <p>The site review team will evaluate the PIHP's written agreement with the Michigan Department of Human Services to see if the agreement:</p> <ul style="list-style-type: none"> • Describes the coordination arrangements agreed to • Identifies how disputes between the agencies will be resolved |
| <p>E.7. Substance Abuse</p> <p>*Must have signed agreements at a minimum</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>B.B.A. 438.208</p> <p>AFP Sections 2.9.6, 3.12</p> | <p>The intent is to have a working relationship between the PIHP and substance abuse agencies to assure continuity of services.</p> | <p>The site review team members will examine the PIHP's agreement and look for the presence of elements that facilitate a working relationship, such as:</p> <ul style="list-style-type: none"> • Joint efforts to address co-occurring disorders are ongoing • PIHP capacity to serve individuals with co-occurring disorders (a listing of service sites that have this capacity is available and is used by the mental health and substance abuse service systems) |
| <p>E.8. Primary care providers.</p> | <p>The PIHP must have a documented policy and</p> | <p>The site review team will review evidence of PIHP</p> |

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| <p>42 CFR438.208(b)(4) PCP coordination</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 6 – Quality Assessment and Performance</p> <p>AFP Section 2.9.8</p> | <p>implement procedures to assure that coordination regarding mutual recipients is occurring between the PIHP and/or its provider network, and primary care physicians.</p> <p>The Medicaid Health Plan and the PIHP must develop procedures for notifying each other of prescriptions, consultation between practitioners before prescribing medication, and sharing complete and up-to-date medication records.</p> | <p>coordination with primary care providers. The policy shall minimally address all recipients of PIHP services for whom services or supports are expected to be provided for extended periods of time, including:</p> <ul style="list-style-type: none"> • Case management • Supports coordination • Habilitation Waiver • ACT • Children's waiver • Home based • Individuals receiving psychotropic medication |
| <p>E.9. Documentation at a minimum addresses coordination of care between the PIHP and the QHP for people who are case managed and/or are using psychotropic medications.</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>B.B.A. 438.208</p> | <p>The PIHP must have a documented policy and set of procedures to assure that coordination regarding mutual recipients is occurring between the PIHP and the Medicaid Health Plan for people who are case managed and/or are using psychotropic medications.</p> <p>The Medicaid Health Plan and the PIHP/CMHSP must develop procedures for notifying each other of prescriptions, consultation between practitioners before prescribing medication, and sharing complete and up-to-date medication records.</p> | <p>The site review team will review documentation to ensure that it minimally addresses coordination of care between the PIHP and the QHP for people who are case managed and/or are using psychotropic medications. The policy shall minimally address all recipients of PIHP services for whom services or supports are expected to be provided for extended periods of time, for example:</p> <ul style="list-style-type: none"> • Case management • Supports coordination • Habilitation Waiver • ACT • Children's waiver • Home based |

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| | | <ul style="list-style-type: none"> • Individuals receiving psychotropic medication |
| <p>E.10. The PIHP ensures that each individual's privacy is protected in accordance with privacy requirements in 45 CFR parts 160 and 164 subparts A and E, if applicable.</p> <p>Medicaid Managed Specialty Services and Supports Contract, Part 2 - Statement of Work;</p> <p>B.B.A. 438.208</p> <p>AFP Section 3.10.6, 3.10.8</p> | | <p>The site review team will review documentation to ensure that:</p> <ul style="list-style-type: none"> • Staff training records consistently support that HIPAA training occurred as required • Electronic documentation protects the individuals Protected Health Information <p>Sources of information include:</p> <ul style="list-style-type: none"> • Clinical record review • MDCH facility site reviews • Staff training records • Personnel records • Administrative policies and procedures • Electronic documentation |
| <p>F. RECORD KEEPING</p> <p>(Medicaid Provider Manual, General Information for Providers, Section 13 - Record Keeping)</p> | | <p>Clinical record review</p> |
| <p>F.1. Record Retention</p> <p>Contract 6.8.1</p> | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable record retention requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Record Retention Policy • Clinical record review |

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| F.2. Minimum of 7 years. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable record retention requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Record Retention Policy • Clinical record review |
| F.3. Includes written orders of other providers. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical records |
| F.4. Face Sheet information is kept current and includes: | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record • Face Sheets |
| F.5. Name. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.6. Medicaid identification number. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> |

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| | | <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.7. Medical record number. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.8. Address (+zip code). | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.9. Birth date. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.10. Telephone number. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.11. Clinical records. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable</p> |

DCH Site Review Interpretive Guidelines

| DIMENSIONS/INDICATORS | Reason/Interpretation | What type and what evidence/documentation will demonstrate compliance? |
|---|-----------------------|---|
| | | <p>requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.12. Specific findings or results of diagnostic or therapeutic procedures. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.13. Test methodology. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.14. Record of prescribed treatments, tests, therapies, drugs. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.15. Strength, dosage and quantity of drug. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |

DCH Site Review Interpretive Guidelines

| DIMENSIONS/INDICATORS | Reason/Interpretation | What type and what evidence/documentation will demonstrate compliance? |
|--|-----------------------|---|
| F.16. Diagnosis, symptom, condition. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.17. Histories, plan of care, progress notes, and consultation reports. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record |
| F.18. Begin and end time of service delivered. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical records document beginning and ending service times in progress notes and reviews. |
| F.19. Prescribing/referring physician. | | <p>The review team will look for documentation which supports that the PIHP is in compliance with applicable requirements. Sources of information include:</p> <ul style="list-style-type: none"> • Administrative Policy • Clinical record contains releases when appropriate for correspondence or telephone consults |
| APPENDIX OF REVISIONS <u>After 1/29/08</u> | | |

DCH Site Review Interpretive Guidelines

| DIMENSIONS/INDICATORS | Reason/Interpretation | What type and what evidence/documentation will demonstrate compliance? |
|---|-----------------------|--|
| <p>Index - new addition to the document.</p> <p>B.3.3.1 and B.3.4.1. – new evidence to show home-based services are assigned exclusively to the home-based program</p> <p>B.9.1. Inpatient pre-screening services – changed</p> <p>B.9.2 is new, the subsequent numbering in this sequence changed up by 1 digit. (items B.9.1 – B.9.10 rather than through B.9.9.)</p> <p>E.6. The type of evidence/documentation that will demonstrate compliance has changed, see the 3rd column.</p> <p>D.2.1. Typographical error was corrected.</p> <p>B.13.3. <u>Additional Substance Abuse Services</u>, was deleted, the Reason/Interpretation from this was added to B.13.3.1 and B.13.3.2</p> | | |